

NRC Faculty Worksheet

Data Review Instructions

Please return the updated worksheet to Ron Spangler in Institutional Research & Planning (OIRP), 339 Carruth by noon, Wednesday, November 22nd. We suggest that you hand deliver the data sheets rather than sending them through campus mail.

Be sure to keep a copy for your records!

Background

According to NRC, the faculty included in the study should be active participants in doctoral education as well as active researchers in their own disciplines. In general, such core faculty members are tenure-track and tenured individuals with active research agendas.

It is a two-step process to identify the faculty to be submitted to NRC:

- 1) Determine all eligible faculty.
- 2) Determine the eligible faculty who will be submitted to NRC.

The faculty identified for inclusion in the study will receive a confidential, detailed NRC Faculty Questionnaire important to the study. The NRC Faculty Questionnaire may be viewed at: http://www7.nationalacademies.org/resdoc/Faculty_questionnaire_pdf.pdf.

The NRC Faculty Worksheet displays faculty information for your review to determine who is eligible. See Appendix A for details on criteria to be included in the study. Please review the data using the following instructions.

At the November 14th meeting there will be a discussion about determining which faculty members to send to NRC for inclusion in the study once all eligible faculty are identified.

Instructions

This worksheet includes faculty data from the PeopleSoft system, University Budget, and the Graduate School for the period Fall 2001 through Fall 2006. **If you make changes to employment information or add individuals, please provide a copy of supporting documentation.**

1. Please review carefully the **NRC Minimum Guidelines** and **NRC Faculty Classifications in Appendix A**.

Table 1: Faculty Appointed in Department

2. Verify that all faculty members with appointments in the program are listed.
 - a. Line through any duplicate listings or any rows that should be deleted.
 - b. Write-in any additions and provide documentation.
3. The first five columns show data from PeopleSoft: Name, Department/Program, Rank, Currently Employed Fall 2006, and Tenure Status.
4. The next four columns show data summarized from Graduate School records:
 - a. Graduate Faculty Status (Active, On leave, or blank)
 - b. Number of Dissertations Chaired FY 2002-FY 2006 (past five years)
 - c. Number of Dissertation Committees as a Member FY 2002-FY 2006 (past five years)
 - d. Number of Dissertation Committees as an Outside Member FY 2002-FY 2006 (past five

years)

This information will be used to determine whether the faculty member is actively involved in doctoral education and in research within this program. Faculty members with dual appointments in another program are also listed on the worksheet for the other program.

5. Hired in FY 2004-FY 2006 identifies those appointments made in the past three fiscal years. Such faculty members are eligible for inclusion in NRC category of "NEW" faculty.
6. Enter information in the next two columns that must be provided to NRC:
 - a. Serving on graduate admissions committee. Write, "Yes" for those currently serving.
 - b. Serving on curriculum committee. Write, "Yes" for those currently serving.

This is a program decision. It is a mechanism for including faculty who have not served on or chaired a dissertation committee but are active in doctoral work.
7. The Preliminary NRC Category column shows the preliminary status based upon available system records.
 - a. If this column is blank for a faculty member you feel should be included, write your recommended category (CORE, NEW, or ASSOCIATE) using the guidelines in Appendix A and indicate your rationale.
 - b. If this column shows "NEED MORE EVIDENCE," provide additional data in the previous columns and write your recommended NRC category (CORE, NEW, or ASSOCIATE).
 - c. If this column shows "NEW for 2007," it means the same as "NEW," but the faculty member was actually hired in the beginning of FY 2007.
 - d. If this column shows either "CORE or NEW" or "CORE or ASSOC," choose the appropriate NRC category based upon the qualifying criteria.
 - e. If this column shows one of the three NRC categories (CORE, NEW, or ASSOCIATE), confirm with a check mark or write your recommended change.
8. The last column provides space for comments or explanations for any changes made to the data for each faculty member. Complete as appropriate. **Provide a copy of supporting documentation where appropriate.**

Table 2: Emeritus Faculty Appointed in Department

9. Verify that all emeritus faculty members are listed *if* they meet the criteria in the two columns:
 - a. Number of Dissertations Chaired FY 2004-FY 2006 (past **three** years). Emeritus faculty members who have chaired a dissertation committee in the past **three** years may be included as CORE faculty in the program.
 - b. Primary Instructor for Regular PhD Course FY 2004-FY 2006 (past **three** years). ***This column must be completed by the department/program if this criterion is to be used.*** No central data source was available. Emeritus faculty members who have taught a regular PhD course in the past **three** years may be included as CORE faculty in the program.
10. Please provide pertinent data for any additional emeritus faculty identified.

Table 3: Faculty Not in Department but Serving on Dissertation Committees for Students in Program

11. This table lists all faculty members from other departments who have served on dissertation committees for students in your program according to Graduate School records. Such faculty members **may** be included as ASSOCIATE faculty in the program. ***The implications for identifying faculty as associate faculty will be discussed at the November 14th meeting. Do not complete this table until after discussions at the meeting.***

Table 4: Faculty without PeopleSoft Record but Serving on Dissertation Committees for Students in Program.

12. This table lists faculty members, if any, who have served on dissertation committees for students in your program according to Graduate School records, but who cannot be identified in KU employment records. Such faculty members may be included as ASSOCIATE faculty in the program.
13. If any faculty member is listed:
- Provide supporting documentation of their KU faculty appointment, either paid or courtesy.
 - Review and update all columns as in Table 3.
 - Confirm that they should be recommended for the NRC category of ASSOCIATE, and
 - Provide comments or explanations for any changes made to the data.
14. If you wish to add any outside faculty member who has served on a dissertation committee and is not listed elsewhere on the worksheet:
- Provide supporting documentation of their KU faculty appointment, either paid or courtesy.
 - Complete all columns as in Table 3.
 - Confirm the outside faculty member is not employed at any other university by writing "No" in the column, Employed at Other Universities. **The department must complete this column for any additional outside faculty identified.** Note that a response of "Yes" would mean that they do not meet this criterion.
 - Confirm that they should be recommended for the NRC category of ASSOCIATE, and
 - Provide comments or explanations for the proposed addition.
15. Please add the reviewer's name, e-mail address, and phone number on the upper right corner of the worksheet in case there are any questions.

If you have any questions, please contact Ron Spangler at 4-4412 or spangler@ku.edu.

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Appendix A

NRC Minimum Guidelines

1. To be included on the faculty list for the NRC study, faculty must have a current appointment at KU (e.g., cannot be employed at another university, but include those on sabbaticals or sick leave.)
2. These current faculty members must also meet at least one of the following criteria:
 - Served on at least one dissertation committee between FY 2002 and FY 2006.
 - Serve on an admissions or curriculum committee.
 - Hired by the department/program between Fall 2003 and Fall 2006 with the expectation of participation in doctoral education.
3. Emeritus faculty with current appointments must meet one of the following criteria:
 - Chaired a dissertation committee between FY 2004 and FY 2006.
 - Taught a regular PhD course between FY 2004 and FY 2006 as the primary instructor.

NRC Faculty Classifications

The information on the faculty lists will be used to classify faculty members into one of three broad categories. The allocation of faculty productivity will be based on the faculty member's status in the program (core, new, or associate) or programs and their dissertation service.

- 1. Core faculty.** Faculty members who are currently and formally designated as faculty in the program AND have either served as a principle dissertation advisor or member of a dissertation committee within the past 5 academic years (2001-2002 through 2005-2006) OR who are serving as a member of the graduate admissions or curriculum committee.
- 2. New faculty.** Faculty who do not satisfy the dissertation service requirements for being listed as core faculty, were hired in the past 3 academic years (2003-2004 through 2005-2006) and are *expected* to become involved in doctoral education through the process of sitting on or chairing dissertation committees. The expectation that a new faculty member will become involved in doctoral education is usually evidenced by tenured or tenure-track appointments.
- 3. Associate faculty.** Individuals who have chaired or served on dissertation committees in the program within the past 5 academic years (2001-2002 through 2005-2006) but are not core or new faculty in the program. They must hold some type of University appointment; they may be core in other programs or employed by other research institutions (such as national labs, medical centers, professional schools, etc.) Do NOT include outside readers or faculty currently employed at other universities.