

Lundquist College of Business Tenure-Track Faculty Professional Responsibilities

I. Preamble

A central component of the Lundquist College of Business' (LCB) mission is to create and disseminate knowledge in the foundational academic business disciplines. Members of Tenure Track Faculty (TTF) are solely responsible for delivering the research mission and must be provided with workloads and resources that facilitate research.

At the same time, we recognize that individual talent and career lifecycles are likely to impact the best allocation of effort among research, teaching and service for each individual.

Given the diverse nature of work performed by TTF, varying types of appointments, and needs of the university, the weighting of assignments and particulars of assignments may vary between and within units.

Our goal is to foster an environment where all TTF can strive for excellence and be rewarded appropriately for the attainment of excellence.

Each TTF member is obligated to devote their best efforts to the university, particularly to students, to perform all duties with professionalism and diligence and in accordance with standards appropriate to AAU institutions. Each faculty member is obligated to act ethically and in compliance with the accepted professional standards; to account for all money or property received; to use money and property only for lawful purposes and in accordance with policy. Each faculty member is obligated to treat confidential information as confidential; to cooperate with the university with regard to investigations, audits and legal proceedings; and to represent the university with professionalism.

This document addresses the assignment of professional responsibilities for TTF. Overall research, teaching and service loads are intended to meet the full research, curricular, enrollment and service needs of the LCB while also making appropriate use of each TTF member's qualifications and expertise and potential to acquire the appropriate expertise.

While this document describes the assignment of professional responsibilities in detail, faculty are encouraged to communicate with their Department Head at least annually before responsibilities are assigned to discuss their research activities, teaching preferences and service activities and how those correspond to the research, curricular and enrollment needs of LCB.

II. Contributing Factors to Overall FTE for TTF

A. Definition of 1.0 FTE:

All TTF members are expected to be engaged in research, teaching and service. For TTF who are highly research productive (see Section II, part B for definitions of “highly research productive”, “research active” and “teaching and service focused”), the general weighting is 0.4, 0.4 and 0.2 respectively.

However, tenured faculty members at various stages of their careers have differing strengths to draw upon to fulfill LCB’s mission. LCB wants a system where everyone can contribute, be rewarded and appreciated for those contributions, but is sufficiently flexible to accommodate change. Weighting given to each of the three areas can change over one’s career as individual TTF change their emphasis from research to teaching and/or service (e.g., someone who is classified as “research active” may have their FTE changed to 0.3, 0.5 and 0.2 for research, teaching and service respectively). Changes in weighting are made by the Dean or designee after consultation with the TTF member and their Department Head.

B. Course Load:

i. Basic course load information

Teaching loads for tenured Associate and Full Professors range from four courses per AY to eight courses per AY depending on their status as: (1) highly research productive (four courses), (2) research active (five courses) or (3) teaching and service focused (six to eight courses). Determination of whether a tenured faculty member is “highly research productive” is described in section 2 below.

TTF with tenure who are highly research productive and on a 1.0 FTE appointment generally are expected to teach four courses/sections during an academic year (AY). This corresponds to 0.40 of a 1.0 FTE appointment. Tenured professors with higher teaching loads will have their portion of FTE on teaching and research accordingly adjusted.

Newly hired PhDs, without tenure, in the first year of their contracts teach three courses/sections and use the one course reduction to learn from their colleagues and to prepare to teach for the first time as a new Assistant Professor. Teaching in this first year for new PhDs corresponds to 0.40 of a 1.0 FTE. All other untenured Assistant and Associate Professors teach four courses per AY.

All three and four credit classes, including lower division, upper division, honors classes and graduate classes are considered equivalent in workload. Class size varies with the level of the course and demands associated with

student contact and grading (e.g., lower division classes tend to be larger than upper division classes and graduate classes tend to be smaller than undergraduate classes).

Regardless of research status, all TTF, at their own discretion, may serve as the instructor of record for Individual Studies, Honors Theses and similar extra-course teaching activities. Participation in such instruction is outside the normal course load, but shall be considered in any performance review of teaching contributions.

ii. Determining the research active status of a tenured TTF for course load

A tenured TTF is defined as ***highly research productive, research active or teaching and service focused*** according to the following guidelines:

The research expectations for research focused faculty will be determined using a system of points tied to publications that will automatically qualify one as meeting a certain standard, coupled with flexibility to subjectively accommodate non-standard situations. Lists of A and A- journals have been developed by the Academic Council and are subject to change only with the Academic Council's approval.

- 10 points – Publication in a top tier journal (as specified by faculty representing each discipline and approved by the Academic Council—see list below).
- 10 points – Publication in clearly top tier journals in other disciplines such as Psychology, Operations Research, Economics, Management Information Systems, and Economics. For example, *Science, American Economic Review, Econometrica, Management Science, Journal of Applied Psychology*, would qualify as 10 point publications. These cases will be determined by the Dean or designee in consultation with the Academic Council.
- Up to 5 points – for winning a national award by a top journal for the paper being a “best paper.” These cases will be determined by the Dean or designee, in consultation with the Academic Council.
- 7 points – Publications in A- journals (specified by faculty representing each discipline and approved by the Academic Council—see list below).
- 5 points – Scholarly books as determined by the Academic Council.
- 2 points – Publications in center-related journals (as specified by center-related faculty and approved by the Academic Council).
- 1 point to all tenured departmental faculty members for top-tier article by non-tenured TTF department

members.

A cumulative score of 20 or more points over rolling five-year intervals (moving cumulative total) automatically qualifies a tenured faculty member as ***highly research productive, as long as at least half the accumulated points are from the set of top journals designated as “A” journals.***

A cumulative score of more than 14 points with at least 1 “A-“ publication automatically qualifies a tenured faculty member as ***research active*** status.

If a tenured faculty member has less than 10 total points after the 5 years, then the academic council will evaluate that individual’s circumstances to determine if they merit ***highly research productive, research active*** or shall transition to ***teaching and service*** status. Below are some possible outcomes:

- Tenured faculty member has special circumstances which merit highly research productive status despite point shortfall.
- Tenured faculty member has a significant variance in number of points associated with moving average intervals because of high rate of acceptances in one particular year followed by periods without publications.
- Tenured faculty member transitions to teaching and service focused; this may mean a teaching load of 6 – 8 courses depending upon other contributions. May also include make-up provisions for faculty previously classified as research focused whose publication score fell well below research focused cutoff – with additional classes being assigned to make up for the past misclassification.

The “A” Journals List, as approved by the Academic Council, for determination of Research Active Status at Oregon:

1. Accounting Journals
 - Accounting Review
 - Contemporary Accounting Research
 - Journal of Accounting & Economics
 - Journal of Accounting Research
2. Finance Journals
 - Journal of Finance
 - Journal of Finance & Quantitative Analysis
 - Journal of Financial Economics
 - Review of Financial Studies

3. Management & Organization
 - Academy of Management Journal
 - Academy of Management Review
 - Administrative Science Quarterly
 - Organization Science
 - Strategic Management Journal
4. Marketing
 - Journal of Consumer Research
 - Journal of Consumer Psychology
 - Journal of Marketing
 - Journal of Marketing Research
 - Marketing Science
5. Operations Management
 - Manufacturing & Service Operations Management
 - Decision Sciences
 - Production and Operations Management
 - Journal of Operations Management
6. Business Statistics and
 - Analytics Biometrika
 - Journal of Econometrics
 - Journal of Time Series Analysis
 - International Journal of Forecasting
 - Journal of Business and Economic Statistics

The “A-” Journals List, as approved by the Academic Council, for determination of Research Active Status at Oregon

1. Accounting Journals
 - Review of Accounting Studies
 - Journal of Accounting, Auditing, and Finance
 - Journal of Accounting and Public Policy
 - Journal of the American Taxation Association
 - Journal of Management Accounting Research
2. Finance Journals
 - Journal of Corporate Finance
 - Journal of Financial Markets
 - Journal of Financial Intermediation
 - Financial Management
 - Review of Finance
3. Management & Organization
 - Journal of Business Venturing
 - Journal of International Business Studies

Journal of Management
 Journal of Management Studies
 Journal of Organizational Behavior
 Research Policy

4. Marketing

Journal of Retailing
 Journal of the Academy of Marketing Science
 Journal of Advertising
 Journal of Public Policy and Marketing
 Journal of International Marketing

5. Operations Management

Naval Research Logistics
 IIE Transactions
 European Journal of Operations Research

6. Business Statistics and Analytics

Journal of Statistical Planning and Inference
 Journal of Forecasting
 Computational Statistics and Data Analysis
 Journal of Statistical Computation and Simulation
 Econometric Theory

Note that the determination of research status described in this section is used only in determining the course load for TTF with tenure. It does not apply to TTF members without tenure. Furthermore, the accumulation of 20 or more points by a tenured Associate Professor or by an untenured TTF does not guarantee a favorable recommendation toward promotion to Full Professor or promotion to Associate Professor with tenure respectively. Finally, the accumulation of 20 or more points by a Full Professor does not guarantee a rating of “exceeds expectations” in a sixth-year post tenure review.

Faculty in the research active category and in the teaching and service focused category will consult regularly with their department head and the dean or designee regarding ways in which to reinvigorate their research programs, with the goal of maintaining to the extent possible the levels of research activity commensurate with faculty rank at a research-intensive university.

iii. Course releases for administrative and advising duties

TTF who serve as a Department Head receive an annual two-course reduction. TTF who serve as an Academic Director of one of LCB’s four centers receive an annual one-course reduction. TTF who serve as Senior Associate Deans have no teaching assignments during the appointments but are encouraged to teach if possible.

Service on PhD dissertation committees is considered part of teaching and is

reflected in faculty workloads through a point system. Faculty members receive 3 points for chairing a completed dissertation and 1 point for serving as a committee member on a completed dissertation. No more than six points can be allocated to committee members for a single dissertation. Nine accumulated points result in one course off during the following academic year. Course reductions cannot be “banked” and used in years other than the year following the accumulation of nine or more points unless agreed to by the faculty member and the Dean or designee. TTF members are responsible for tracking accumulated points across years and communicating with their Department Head.

iv. Course buyouts

TTF with external grant funding can buy out of up to two courses according to the following:

1. Course buyouts for those without administrative/academic course releases:
 - a. Must be recommended by the Department Head
 - b. Permitted only for grants above \$125K (or for a combination of grants totaling \$125K)
 - i. First Course:
 1. Minimum of 12.5% or 15% Salary + OPE (approximately 30%). Principal Investigator has the option of selecting the percentage based on what the grant allows; the choice will influence the portion of the grant overhead that will be kept by the LCB. (See steps 2 and 3 below.)
 2. LCB keeps a portion of the overhead that is returned to the college (on grants that charge overhead, the UO typically returns ¼ of the overhead charges to the unit initiating the grant). For grants of amounts higher than \$125K the balance of the overhead return (after a portion of it is used to attain the 20% buyout sum) will be divided equally between the principal investigator and the LCB.
 3. Total ***combined*** amount from direct buyout and grant overhead return should fall between 18-20% of salary. For grants with lower overhead rates the salary percentage figure for a course buyout may be set higher than 15%.
 - ii. Second Course (to be granted only under special circumstances with approval of the Dean or designee):
 1. 20-25% of Salary + OPE
 2. Total Combined Amount from direct buyout and returned overhead should be at least 30% of salary
2. Course buyouts for those with course releases:
 - a. Must be recommended by the Department Head
 - b. Course buyouts may be banked for a later period or compensated

(details must be worked out with Department Head and the Dean or designee); if banked, grant buyout policy remains the same as above for those without course releases

- c. The combined academic/administrative and grant buyout cannot exceed 2 courses:
 - i. May be permitted only for grants above \$125K
 - ii. Course buyout from grant
 - 1. 20-25% Salary + OPE
 - 2. Total combined amount from direct buyout and returned overhead from grant should be at least 30% of salary

Funds received from the grant buyouts will be used to pay scholarly academic, distinguished visitors to teach courses in the LCB.

v. Special circumstances

On a case-by-case basis, course reductions can be made for: (1) extraordinary service to one's profession (e.g., editor of an A level journal, elected to top leadership in one's professional organization) (2) assignment to temporary administrative assignments in support of LCB's mission, or (3) other substantive activities that support LCB's mission. Decisions are made by the Dean or designee in consultation with the TTF member and their Department Head. Course reductions are secondary to meeting the full research, curricular, enrollment and service needs of the Lundquist College of Business.

C. Service Expectations:

Service expectations vary with rank and experience.

Untenured TTF are expected to contribute primarily to their departments in their first two years and increasingly to the LCB and their profession as they progress beyond year two. Although service contributions are of lesser importance than scholarship and teaching for untenured TTF, service still carries a weighting of 0.20 FTE.

TTF with tenure are expected to actively contribute to service by providing effective leadership in the department, college, or university as well as meaningful service to the faculty member's academic discipline in ways that contribute to the college's goals. Examples of appropriate service to the department, college or university for TTF with tenure includes:

- (1) membership on standing college committees such as the Promotion and Tenure Committee, the Undergraduate Program Committee, and the Masters Programs Committee,
- (2) appointment to LCB advisory committees or faculty search committees,
- (3) membership in the UO Senate and other standing UO committees,
- (4) appointment to UO advisory committees.

The time demands of different committees and whether the TTF is chair of the committee are taken into consideration (e.g., chairing the university Faculty Advisory Committee or Faculty Personnel Committee is considered a very high time demand appointment and in such cases other service obligations to one's department, the college or the university would be reduced).

Examples of appropriate service to one's academic discipline for TTF with tenure include:

- (1) ad-hoc reviewing for top-tier academic journals
- (2) service on academic journal editorial boards
- (3) service in elected or appointed positions in their professional organizations

The time demands of more substantial service to one's academic discipline are taken into consideration (e.g., Editor of an A-level journal is considered a very high demand service assignment and in such cases other service obligations to one's department, the college or the university would be reduced).

Service expectations of assuming a leadership role are generally higher for Full Professors than for Associate Professors.

TTF with tenure who are classified as Teaching and Service Focused will have their expected FTE allocations adjusted to place greater weight on teaching and service and accordingly will be expected to contribute more in department, college and university service, or in service to their profession (e.g., 0.0 FTE, 0.6 FTE and 0.4 FTE for research, teaching and service respectively).

D. Research and Scholarship

The college expects high quality research and scholarship from TTF members consistent with accreditation standards set by AACSB and the research mission of LCB. High quality scholarship is interpreted to mean that the TTF member's research is of a quality commensurate with work published in the top journals in the member's discipline, and of sufficient quantity such that leading scholars in the discipline along with departmental colleagues attest to the importance and impact of the member's research.

In addition, for Full Professors, excellence in research and scholarship means the member will be nationally recognized for the quality and impact of their research by leading scholars in the member's discipline.

E. Professional Development Related to Teaching, Research and Service

All TTF are expected to stay current in their disciplines as part of the components of their FTEs allocated to teaching and research. Those TTF serving in administrative roles are expected to engage in related professional development activities as part of their FTEs allocated to service.

LCB financially supports professional development for all TTF in teaching and research through the availability of: (1) professional development accounts, (2) summer support for research, and (3) named appointments.

D. Undergraduate and Graduate Advising:

Informal advising of students as part of the normal teaching of a course is expected, including advising during scheduled office hours and occasionally outside of them. Advising student clubs is part of service expectations and not teaching load. Formal student advising including career advising, curricular advising, and other programmatic advising is handled by Staff and Officers of Administration at the program level and is not considered to be part of TTF teaching or service expectations.

E. Student Contact and Communication:

All TTF teaching a course are expected to hold scheduled office hours and to communicate with students and student teams outside of class as appropriate for the course they are teaching. TTF teaching one course per term should schedule a minimum of two office hours per week. TTF teaching two or more courses per term should schedule a minimum of three office hours per week.

Regardless of the number of office hours scheduled, all TTF are expected to meet reasonable student needs for contact and communication including email and/or other appropriate on-line media. Scheduling exam review sessions, feedback on practice team presentations, and other similar contact and communication is done at the discretion of the TTF member.

F. Overloads and Course Cancellations:

From time to time, curricular and enrollment needs may provide an opportunity for TTF on a 1.0 FTE to teach an additional course(s) in an academic year (AY). Overload teaching appointments will be assigned an FTE percentage commensurate with normal workload duties and compensated accordingly. Alternatively, faculty may “bank” an overload course in one AY and trade this for a reduced teaching load the following AY. This can be delayed beyond a year by agreement between the faculty member and the Dean or designee. Faculty will not be disciplined or terminated for refusing an overload teaching assignment.

Teaching in Portland-based graduate programs is also done as an overload.

At a minimum, compensation will be based on a FTE percentage commensurate with the workload duties of the course.

LCB has the right to cancel classes due to insufficient enrollment. In the past, insufficient enrollment has been generally defined as fewer than 20 students in an undergraduate class and fewer than 10 students in a graduate class, excluding PhD seminars. However, these enrollment numbers are guidelines and not absolute criteria for cancelling a course. Other factors include curricular and enrollment needs of the unit.

If a teaching assignment is cancelled for any reason, the Department Head will consult with the faculty member and assign alternative duties at the same FTE in the same term, or reassign the affected faculty member to an appropriate course, or alternative assignment, in the same academic year.

Determination of how to adjust teaching loads will be decided jointly with the TTF, the appropriate Department Head, and the Dean or designee.

III. Accounting for Individual Faculty Needs in the Context of LCB Curricular, Enrollment and Service Needs

A. Teaching and Service Assignment Process:

TTF, as is their right under the CBA, shall be afforded the opportunity to meet with their Dean, Department Head, or designee at least annually, before responsibilities are assigned, to discuss the TTF member's preferences regarding assignments for teaching, research, service and other professional responsibilities as set forth in the CBA, and the member's anticipated resource needs.

During fall of each year Department Heads or their designees will prepare an initial proposed teaching schedule for the following AY. Starting from the previous year's teaching assignments, and taking into consideration the coming year's curricular and enrollment needs, each TTF and their Department Head will engage in dialogue about the faculty member's teaching assignment for the coming year.

Effort will be made to accommodate TTF teaching preferences and service assignments while meeting the curricular and enrollment needs of the department.

In rare cases of extraordinary curricular and enrollment need, a faculty member may be assigned a course that he or she is qualified to teach, but prefers not to teach. In such cases, the faculty member is obligated to devote their best effort to the university and particularly to students, to perform all duties with professionalism and diligence and in accordance with standards

appropriate to AAU and AACSB institutions.

It may be necessary to modify scheduled assignments during the course of an AY. This will only be done after the Department Head or designee has discussed the changes with the TTF member. Changes will not be made for arbitrary or capricious reasons. If TTF have questions or concerns about their teaching, research, and service assignments, they are encouraged to contact the Dean or designee, who has final authority to make teaching and service assignments.

B. New Course Preparations:

The teaching load for all TTF includes an expectation that TTF will occasionally be asked to prepare a new course that they have never taught or have not taught for 3 or more years. The assignment of a course requiring a new preparation to that faculty member will be based on curricular and enrollment needs of the college, in light of the faculty member's qualifications and expertise and potential to acquire the appropriate expertise, as well as the faculty member's evolving teaching interests.

On a case by case basis, when the new course preparation departs significantly from the TTF member's past teaching experience, the Department Head and/or Dean or designee may provide resources and assistance to help with course preparation, and the TTF member's teaching schedule may be adjusted to reduce the number of different courses assigned during that term and/or the academic year. Examples of new course preparation departing significantly from past teaching experience could include: (1) developing a new course in a different department (e.g., someone who has only taught in Finance is asked to develop a new course in Accounting) and (2) developing an on-line version of an existing course.

C. Balance of Workload Components and Timing of Activities:

The assignment and distribution of courses for TTF considers the curricular and enrollment needs of the college as well as the TTF member's qualifications and expertise. TTF members will be assigned no more than three courses in one term unless the faculty member and the Dean or designee agree that a greater number is in the best interests of both LCB and the faculty member. The distribution of teaching assignments over the academic year (AY) takes into consideration a variety of factors including (1) service and administrative assignments of the faculty member, (2) number of different preparations over the AY, (3) teaching at both UG and Graduate levels, (4) teaching in the Honors Program, (5) class size, and other factors that may be relevant at the time the teaching schedule is developed.

Examples of responsibilities and activities that could qualify as being equivalent to a course reduction, henceforth to be referred as a course

equivalent, include high time-demand service in an administrative capacity, support of essential credit or non-credit activities of academic programs, the nature of an individual's teaching portfolio in a particular AY (e.g., compared to past practice, an unusually high number of preparations, an unusually high number of new preparations, an unusually high number of large enrollment classes, and teaching multiple courses at lower division, upper division, and graduate levels), participation in strategic initiatives as determined by the Dean's office, among several others. Individual TTF may request an adjustment in their teaching load based on the reasons listed above to their Department Head and/or the Dean or designee.

Final decisions associated with deviations from the TTF member's teaching load will be made by the Dean or designee in consultation with the TTF and the Department Head. In specific cases of high enrollments, it may be appropriate to provide TTF with more resources for grading, answering student emails, or holding office hours instead of adjusting their teaching loads. (Note that Per Student Enrollment Funds equal to \$3.50 per student in a class are made available to support the teaching of each course and TTF may use those funds to cover copy costs, purchase course material, hire graders, and make other purchases associated with the teaching of a course. These funds carry over. Per Student Enrollment Funds are not to be used for travel to conferences, purchase of computers, and other non-course related expenses.) The Dean or designee will approve additional resources in consultation with the appropriate Department Head and the TTF.

Department Heads and/or area coordinators will inform each TTF, no later than spring quarter, of their teaching assignment for the following academic year.