

**OPERATING RULES AND PROCEDURES
GATTON COLLEGE OF BUSINESS AND ECONOMICS
UNIVERSITY OF KENTUCKY**

These rules and procedures are intended to be consistent with the Governing Regulations and Administrative Regulations of the University of Kentucky and the laws of the Commonwealth of Kentucky and the United States of America. In the event these rules and procedures are inconsistent or contrary to the above-mentioned regulations and laws then those regulations and laws control.

1. The faculty of the Gatton College of Business and Economics shall consist of its dean, assistant, and/or associate deans and full-time personnel having the rank of assistant professor, associate professor or professor in the regular, special title, or extension series, and lecturers. Membership, with or without voting privileges, also may be extended by College faculty to any other person assigned to it for administrative work, teaching or research. An individual may be assigned to more than one faculty; in this instance, one assignment shall be designated by the Provost or dean as the primary one.
2. The Dean may call a meeting of the College faculty whenever it seems advisable, and shall do so whenever requested by at least one-fourth of the faculty, and must call at least two meetings during each academic year. In addition to the faculty of the College, students who have been elected to the University Senate from the Gatton College of Business and Economics are invited to attend as visitors and may request the privilege of the floor. A majority of the College faculty shall constitute a quorum for the transaction of business. The dean shall be responsible for the preparation and distribution of the minutes of all faculty meetings.
3. The College consists of five academic units: School of Accountancy, Department of Economics, Department of Management and Information Systems, Department of Marketing and Supply Chain, and Department of Finance and Quantitative Methods.
4. The standing committees of the College shall include the following:
 - a. Operating Committee. This committee is an advisory committee for the Dean. Its functions include the dissemination of operating information to faculty and staff, discussion of problems common to the units, the nomination for membership on College committees, and such other functions as are considered appropriate. This committee will consist of the Dean, Associate Dean(s), the Directors and Chair of the academic units in the College, and whomever else the Dean sees fit to include.
 - b. Undergraduate Studies Committee. This committee has the primary responsibility for continuous surveillance of the undergraduate degree programs of the College. In addition, it must review and approve all course and program changes and the new course applications dealing with courses numbered 599 and below and new undergraduate programs, following the procedures outlined in (7) below. This committee shall be

chaired by the Associate Dean for Undergraduate Affairs, and include the Director of Undergraduate Studies in each academic unit and an undergraduate student representative.

- c. MBA Policy Committee. This committee's responsibilities include those issues relevant to the administration and operation of the MBA program, including admission, curriculum and placement. The committee must review and approve all course and program changes and new course applications dealing with the MBA program following the procedures outlined in (8) below. The committee serves the same responsibility for the MBA program, as does the Graduate Committee for all other graduate programs in the Gatton College. This committee shall be chaired by the Director of Graduate Studies with responsibilities for the MBA program and include a representative from each of the academic units in the College and a student representative. Appointments will be made by the Director of Graduate Studies in consultation with the Dean and the academic unit heads. Terms of the appointments will be for one year. Reappointment for additional one-year terms is possible.
- d. Graduate Studies Committee for the PhD in Business and the MS in Accounting. The committee's responsibilities include continuous surveillance and improvement of the PhD in Business Administration and the MS in Accounting programs. This committee must review and approve all course and program changes and new course applications dealing with courses in these programs numbered 400G and 500 and above and new graduate programs, following the procedures outlined in (8) below. This committee shall be chaired by the Director of Graduate Studies for the PhD in Business Administration and MS in Accounting, and include the Associate Dean of Academic Programs, a member of the graduate faculty from each academic unit in the college except Economics, and a graduate student representative. Appointments shall be made by the Director of Graduate Studies for the PhD in Business and MA in Accounting in consultation with the Dean and the academic unit heads.
- e. Graduate Studies Committee for the PhD and MS in Economics. The committee's responsibilities include continuous surveillance and improvement of the PhD and MS in Economics programs. This committee must review and approve all course and program changes and new course applications dealing with courses in the graduate program in Economics numbered 400G and 500 and above and new graduate programs, following the procedures outlined in (8) below. This committee shall be chaired by the Director of Graduate Studies for the PhD in Economics, and include the Associate Dean of Academic Programs, selected members of the graduate faculty from the Economics Department, and a graduate student representative. Appointments shall be made by the Director of Graduate Studies for the PhD in Economics in consultation with the Dean and the Chair of the Economics Department.
- f. Faculty Advisory Committee on Promotion and Tenure: The committee is an advisory committee to the Dean. In line with the University's Administrative Regulations, the Dean will obtain a written recommendation from this committee whenever an assistant, associate or full professor is considered for promotion and/or tenure. The committee

shall consist of a tenured full or associate professor from each academic unit in the College. The Dean, Associate Dean(s) and academic unit heads are not eligible for membership. Faculty members from each academic unit will elect their representative to the committee. If an associate professor is chosen to serve on the committee, then the unit will also choose a full professor to serve as an alternate for all promotions and/or appointments to full professor. As stated in the University Administrative Regulations a member of the advisory committee is excluded from any participation in the committee's consideration of a recommendation initiating from the academic unit in which the faculty member holds a primary academic appointment.

- g. Diversity Advisory Committee. This committee has the responsibility to provide ongoing review of issues of diversity and multiculturalism affecting the college, to advise the Dean accordingly and to facilitate the implementation of diversity goals set by the administration with regard to faculty, staff and students. The committee is chaired by an Associate Dean for Faculty, Administration and Research of the College and consists of a faculty member from each of the academic units in the College, an appointee from each of the Exempt and Non Exempt Staff and a selected student representative from both Graduate and Undergraduate programs in the Gatton College of Business and Economics.
- h. Strategic Planning and Quality Improvement Committee. This committee is responsible for strategic planning, monitoring data necessary to gauge success in achieving strategic objectives, revising plans as needed and updating the plan on an annual basis, and assisting the Dean in preparing an annual report. More specific responsibilities include: 1) developing short and long-term strategic plans for the College with budget implications, 2) reviewing, developing and overseeing the implementation of quantitative and qualitative measures for use in program assessment, 3) incorporating data assessment results into the strategic planning process and making recommendations for program modifications to appropriate committees or administrators, and 4) overseeing the Annual Progress Report and periodic Program Reviews that are requirements of each academic unit by the Provost. This committee is chaired by the Associate Dean of for Faculty Administration and Research and will consist of a faculty representative from each of the academic units in the College.
- i. Learning Outcomes Assessment Committee. The primary responsibility of this committee is to provide oversight for the student learning outcomes assessment process. The committee will review the continued relevance of identified goals, objectives, learning outcomes, assessment methods, and assessment data collection procedures. The committee will be chaired by the Associate Dean for Academic Programs and shall consist of at least one faculty representative from each of the College's academic units in addition to the College's Assessment Director and the Associate Dean for Undergraduate Affairs. Meetings occur at least twice per academic year, once during the Fall semester and again during the Spring semester.
- j.

- k. Faculty Council. The Gatton College Faculty Council provides a formal mechanism for providing faculty input to the College Administration, acts as a voice for the College faculty in University-level matters and provides a venue for dialogue regarding academic issues and other concerns of the faculty of the College. The Faculty Council will consist of one member from each of the academic units in the College with members being elected by their respective academic units. All members of the Gatton Faculty (as defined in the College's bylaws) are eligible to serve on the Council. However, faculty members serving as Dean of the College, Assistant Deans, Associate Deans, Department Chairs and School Directors are not eligible to serve as members of the GFC nor to vote in the elections of members to the Council.

Election: Members are chosen by vote of the faculty in an annual election. All members of the Gatton Faculty eligible to serve on the Council are eligible to vote.

Term of Membership: Members are elected to two-year terms beginning on September 1. Representatives from the Department of Economics and School of Accountancy are held in alternating years from elections for representatives from the other units. The elections are held in August. There are no term limits for GFC members.

Responsibilities:

- a. The GFC's primary responsibilities are to advise College faculty and to represent College faculty to the administration on matters of collective interest, problems, and professional well-being. The GFC will seek faculty opinion and, where deemed appropriate, will speak on behalf of the faculty. For matters requiring full faculty action, the Council will make recommendations to the faculty, but the ultimate action will depend upon full faculty consideration.
- b. The GFC will consider matters that need to be brought before the faculty, make recommendations, and call for action by the entire faculty as deemed appropriate by the GFC. At any meeting of the faculty called by the Council, the Chair of the Council, or another member designated by the Council, will preside. In addition, the GFC will have a standing place on the agenda at all regular faculty meetings.
- c. The GFC will place issues brought to it by the faculty that lie within the scope of its responsibilities on its regular meeting agenda, and its meetings are open to all faculty eligible to serve on the Council. While administrators cannot attend GFC meetings unless invited, they may petition to place issues before the Council; however, it is ultimately up to the GFC to decide which issues become agenda items.
- d. The GFC will serve as a liaison between the faculty and the Dean and provide a representative opinion or recommendation on matters brought before the Council.

5. University Senate Election Procedures

Election of members of the University Senate from the Gatton College shall be conducted each spring by the Associate Dean for Administration and Academic Affairs in the following manner:

The Associate Dean shall provide a list of faculty eligible to serve on the University Senate and solicit nominations by e-mail. Each faculty member may nominate one or more individuals up to the number of vacancies to be filled for that year. After determining if those nominated are willing to serve, a ballot is distributed to the faculty for a vote. The persons who receive the largest number of votes for the open positions shall be declared elected. The person who receives the next-largest number of votes shall be designated an alternate, who shall be available for one year to take the place of any University Senate member who is unable to serve or to complete his or her term. All ballots shall be tallied and other procedures carried out in such a way as to ensure confidentiality of the voting process.

6. The standing committees of each academic unit shall include an Undergraduate Studies Committee and a Graduate Studies Committee (or masters and doctors policy committees) with the size and term determined by each administrative unit head. Each of the committees will have the same responsibilities at the department level as their counterparts at the College level.
7. Changes in the undergraduate degree program of an academic unit are to be made as follows:
 - a. Faculty member submits proposal to the chairperson of the unit Undergraduate Studies Committee. The unit Undergraduate Studies Committee then presents the proposal to the academic unit faculty for approval.
 - b. The academic unit head forwards approved proposal to Associate Dean of Administration and Academic Affairs who forwards proposal to the College Undergraduate Studies Committee.
 - c. College Undergraduate Studies Committee forwards approved proposal to the Dean.
 - d. Dean either calls a faculty meeting to consider the proposal or circulates proposal to faculty for approval or disapproval. A faculty meeting must be called if disapproved by five or more faculty members.
 - e. Dean forwards approved proposal to the faculty of the University and appropriate University Councils and Committees.
8. Changes in graduate degree programs are to be made as follows:
 - a. Faculty member submits proposal to the academic unit's Graduate Studies Committee (or masters or doctors policy committee). The academic unit's Graduate Studies Committee presents proposal to the academic unit faculty for approval.
 - b. The academic unit head forwards approved proposals to the Associate Dean of Administration and Academic Affairs who forwards proposal to the College Graduate Studies Committee.

- c. Appropriate College Graduate Studies Committee forwards approved proposal to the appropriate Director of Graduate Studies.
 - d. Dean either calls a faculty meeting to consider the proposal or circulates proposal to faculty for approval or disapproval. A faculty meeting must be called if disapproved by five or more faculty members.
 - e. The appropriate Director of Graduate Studies forwards approved proposal to the faculty of the University and appropriate University Councils and Committees.
9. The Undergraduate Resource Center provides advisors for all lower division students; academic unit faculty members serve as advisors for all upper division and graduate students pursuing degrees or programs in their respective departments.

10. Work Load Policy Guidelines

a. Introduction

Consistent with the Faculty Workload Statement of the University of Kentucky, Gatton College faculty are involved in and responsible for the discovery, creation, and transmission of knowledge and skills. In meeting these responsibilities, Gatton College faculty perform a complex combination of duties and responsibilities. Included are student teaching responsibilities for undergraduate, masters, and doctoral students, research and creative thinking, including mentoring of graduate students and service to the University community, the University's external constituencies, and the greater national and international academic community. Faculty workload is defined as faculty member responsibilities across all of these areas. Such responsibilities vary for Gatton faculty based on the position held, work focus, and special assignments arising from the need to fulfill the College's program and administrative responsibilities and College efforts to fulfill its mission and enhance its regional and national stature in a manner consistent with the University of Kentucky's Top 20 Business Plan. To account for the diversity of responsibilities and to clarify expectations for reappointment, promotion and tenure, and merit reviews, workload responsibilities are clarified by the distribution of effort agreement that summarizes a faculty member's work schedule.

b. Workload Factors

Faculty workload includes classroom instruction (undergraduate through postdoctoral), which may be measured by semester credit hours, laboratory time and efforts, and informal non-classroom teaching responsibilities. Research workload includes those activities associated with scholarly production whether unsponsored, sponsored or associated with specific extramural funding. Service workload includes activities performed by Gatton faculty for the College, the University of Kentucky, or external constituencies of the University and professional activities, including service on association boards, editorial boards and other academy service assignments and responsibilities. The management and monitoring of such diverse and often integrated faculty workloads is facilitated by the

University's Differentiated Distribution of Effort form or DOE. The DOE has been designed to permit the department chair or unit director, with the approval of the dean or the appropriate administrative officer, to insure fairness in the distribution of responsibility among faculty members. The merit evaluation system should reflect the reality of the distributions and the amount of time and effort that constitutes a full load equivalent.

c. Standard Teaching Loads

The University of Kentucky Faculty Workload Administrative Regulations indicate that a teaching-only, regular-title-appointment faculty member's assignment is twelve semester hours of coursework per semester. However, due to research and service responsibilities, few Gatton faculty members have a teaching-only assignment. The Gatton College's standard teaching load of six hours per semester reflects the research expectations associated with the University of Kentucky's goal of becoming a top 20 public research university and the varied service responsibilities of its faculty.

d. Teaching Work Load by Rank and Adjustment Factors

As noted, the standard teaching load for full-time regularly appointed faculty members in the Gatton College is six semester hours per semester (undergraduate or graduate) or twelve semester hours per academic year. Deviations from the standard load include adjustments for newly appointed assistant professors and Chaired Professors, reductions in teaching load assignments for administrative roles, and teaching load adjustments associated with research grants and contracts (referred to as released time assignments). The Gatton College guidelines for such teaching load and DOE adjustments are as follows:

- Tenured, Non-Administrative Professors: The standard teaching load for regular-title tenured and non-administrative faculty members of the Gatton College is twelve hours per academic year. While class size and associated workload may vary for majors and undergraduate and graduate programs, the College does not differentiate between undergraduate and graduate teaching load responsibilities as faculty teaching loads typically include both undergraduate as well as graduate courses and classes of variable sizes. Consequently, all three credit hour semester classes are considered equivalent for DOE and associated faculty workload calculations. The standard DOE for regular-title faculty is 40% for instruction; 50% for research; and 10% for service.

An exception to the standard teaching load is for large lecture classes where faculty members are granted credit for six semester hours of teaching for a three-credit hour course. Also, the standard teaching load may be appropriately adjusted upward for research inactive faculty (as shown on the table which follows). While the six semester credit hour teaching workload standard applies to undergraduate and most graduate program teaching responsibilities, the day MBA program is offered in a modular fashion that does not fit the normal teaching responsibility assignment guideline. Consequently, a separate section of this policy summary provides guidelines for the assessment of teaching responsibility equivalence and for DOE purposes.

Tenured Non-Administrative Faculty Standard Assignment			
Courses	Research	Teaching	Service
4	50%	40%	10%
6	30%	60%	10%
8	10%	80%	10%

- Non-Tenured Associate Professors: A teaching load of nine credit hours per academic year for the first two years is typical for non-tenured associate professors. After two years, a regular teaching load of twelve hours per academic year will be implemented.
- Assistant Professors: Typically, new regular title, tenure track assistant professors have teaching load assignments of nine semester hours of teaching equivalence per academic year for two academic year periods. After the two year period, these assistant professors will assume the standard six hour teaching load per semester. Assistant professors with reduced teaching loads will have their DOEs reflect their teaching assignment. While normally such teaching loads include three three-credit courses per academic year, such assignments may be adjusted due to participation in the day MBA program as described in a later section. The standard DOEs for assistant professors with a three course teaching load is 65% research, 30% teaching and 5% service.

Assistant Professors Standard Assignment				
Courses	Research	Teaching	Service	Duration
3	65%	30%	5%	First two years
4	55%	40%	5%	After two years

- Chaired Professors: Teaching loads (reflected in DOEs) for Chaired Professors are three three-credit courses per academic year. Such assignments may be adjusted due to participation in the MBA program in the manner described in the next section or by release time for the conduct of grants and contracts. The standard DOE for a Chaired professor is 60 % research, 30% teaching and 10 % for service.
- Administrative Assignments: Administrative assignments for Chairs, Directors, Associate Deans, and Center Directors shall be determined by the agreement determined by the Dean and the holder of that position. DOEs for regularly appointed faculty are determined by the nature of the administrative assignment except that no faculty member (other than the Dean) can have a teaching plus research DOE weight of less than 20%.

- Research Grant/Contract Released Time: Teaching load adjustments for the conduct of grant or contract research shall be determined upon the receipt of the grant or contract and the DOE shall be adjusted accordingly.
- Research Productivity Release Time Awards: The College will from time to time recognize and reward exceptional research productivity efforts by granting release time from teaching (reduced from 12 hours to 9 hours of teaching effort equivalent per academic year) upon nomination of the Chair or Director and the approval of the Operating Committee. The awards, which are subject to resource availability, are for one academic year and are not renewable. Chaired professors, assistant professors and newly hired senior level professors with reduced teaching loads are not eligible for such awards. Likewise, faculty members with reduced teaching loads due to administrative appointments are not eligible for these awards. Normally, faculty receiving research productivity release time awards will have their DOEs adjusted to 60 % research, 30% teaching and 10 to % service.

e. MBA Program Teaching Equivalence

The immersive one-year MBA program was introduced in 2005 with a modular structure to meet the new program goals of an immersive, integrated, and experience-based learning environment. The program includes an immersive module, a business fundamentals module, a new product development module, a supply chain module; a mergers and acquisitions module, and an advanced learning bundle. The 44 hour program includes several 1, 2 and multiple credit courses—often offered by multiple faculty members. The program’s 880 classroom hours are split between traditional class activities and clinical learning laboratories and supplemental learning experiences including “Project Connect.” The unique teaching structure, which involves faculty from various disciplines of the College offering sub-components, requires an alternative process for determining teaching load equivalency with regularly offered undergraduate and graduate courses.

- Teaching Equivalence Calculations: As noted, in addition to traditional teaching roles and responsibilities, Gatton faculty involved in the day MBA program are involved in a variety of auxiliary or supplemental activities as part of their teaching responsibilities due to the unique nature of the immersive day MBA program. Consequently, while teaching efforts or “contact equivalence” between the day MBA program and other Gatton teaching load responsibilities suggests that 40 plus or minus hours of contact time in the day MBA program would be approximately equivalent to a 3-hour course at the undergraduate or graduate level (15 weeks at 2.5 hours per week plus final exam), the additional responsibilities associated with the day MBA program including laboratory or clinical teaching responsibilities suggest a modified equivalence calculation for the day MBA to assure equitable teaching load assignments for Gatton faculty involved in the MBA and other programs of the College. Therefore, the following teaching equivalence guidelines for the day MBA program are provided:

- Contact Hours Equivalence: The Gatton College guideline regarding contact hour teaching equivalence for the day MBA program is that 40 plus or minus contact hours of “in-class” presentation time (including a final exam) shall be deemed equivalent to a 3-hour regular semester teaching assignment. For day MBA teaching load assignments of less than 40 contact hours or a full course equivalent, the Operating Committee, with advice and input from the MBA Policy Committee, shall assign teaching load equivalencies. For such calculations the following guidelines apply:
 - i. Teaching a 12 to 14 hour MBA module component will be considered equivalent to a 1 academic credit hour teaching assignment.
 - ii. Teaching loads of 25 to 27 hours will be considered equal to a 2 academic hour teaching load equivalent.

Laboratory or Experiential Learning Equivalence: The Gatton College guideline for faculty involved in laboratory or experiential components of the day MBA is that faculty directly responsible for such activities shall be as follows:

- i. Faculty responsible for day MBA modules which include computer or other laboratory components will receive one hour of contact credit for each hour of time that the faculty member is present and actively involved in laboratory based instructional activities.
 - ii. Faculty who teach in day MBA modules that include laboratory components but are not actively involved in instructional activities in a laboratory setting do not receive equivalent contact hour credit.
- Managing Faculty Teaching Workload with Equivalence Calculations: The MBA Policy Committee will recommend to the Operating Committee, for approval, the teaching load equivalents of the various modules and module components of the day MBA program. The MBA Committee will adjust program contact time of modules and module components so that the teaching assignments will have 1, 2, or 3 teaching load equivalencies (based on the contact hours and teaching equivalent guidelines). The teaching load equivalence calculations will be made available to College faculty so that faculty members teaching or contemplating teaching in the day MBA program will know the teaching load credit they will receive for their participation in the day MBA program.
 - Accumulation of Equivalence: With agreement of the faculty member’s Chair or Director, a faculty member may accumulate teaching load credit, which can be redeemed for a one course teaching load reduction. On the other hand, if a faculty member’s accumulated contact hours are less than a full 3 hour course equivalent, that faculty member will be responsible for additional teaching load contact hours in the future.
 - Overload Compensation: When Department or School teaching load needs do not permit a faculty member to use module teaching credits for a reduction in teaching

loads, overloads may be paid with approval of the Chair or Director and Associate Dean.

11. The courses taught by the College are to be staffed according to the following priorities:

Graduate courses (numbered 500 and above)

- a. by full-time faculty who are full or associate members of the Graduate Faculty; then
- b. by full-time faculty with terminal degree; then
- c. by part-time personnel with terminal degree; then
- d. emergency.

Undergraduate courses (numbered 400-499)

- a. by full-time faculty with terminal degree; then
- b. by full-time personnel who are currently ABD; then
- c. by full-time personnel; then
- d. by part-time personnel with terminal degree; then
- e. emergency.

Undergraduate courses (numbered 300-399)

- a. by full-time faculty with terminal degree; then
- b. by full-time personnel who are currently ABD; then
- c. by full-time personnel; then
- d. by qualified doctoral students; then
- e. by part-time personnel; with terminal degrees, or are ABD, or have relevant professional academic qualifications; then
- f. emergency

Undergraduate courses (numbered 0-299)

- a. by full-time faculty with terminal degree; then
- b. by full-time personnel who are currently ABD's; then
- c. by full-time personnel; then
- d. by qualified doctoral students; then
- e. by part-time personnel; with terminal degrees, or are ABD, or have relevant professional academic qualifications; then
- f. by part-time personnel with master's degree; then
- g. emergency

12. The Association to Advance Collegiate School of Business (AACSB), the accreditation body for business schools, requires that all faculty members be classified as either academically qualified or professionally qualified. As a result the Gattton College is required to periodically report on the percentage of its courses taught by academically qualified and professionally qualified faculty. The following sections provide criteria required for faculty to be initially categorized as academically qualified or professionally qualified. The criteria also specify the activities and accomplishments necessary to maintain AQ and PQ status.

- Criteria for Initial Appointment with AQ Status: For initial appointment as an academically qualified faculty member in the Gatton College, tenured or tenure line faculty member must have an earned doctorate in business administration, economics or in a field of study related to the area that the faculty member has graduate and/or undergraduate teaching and research responsibilities (for example, psychology or sociology for faculty teaching management courses and guiding dissertation in the business administration management area). Doctoral students on teaching assistantship (TA) appointments may be considered for AQ status if they have completed a master's degree in their discipline or have completed at least 18 hours of graduate work in their academic discipline.
- Criteria for Maintenance of AQ Status: For maintenance of status as an academically qualified faculty member, the faculty member is expected to demonstrate that he or she is maintaining currency in his or her academic field through by intellectual contributions in any or in any combination of the following:
 - Through peer reviewed research and publication,
 - Through the publication of peer reviewed textbooks, instructional software programs, cases, readings or simulations
 - By receiving competitive research grants and/or contracts
 - By chairing doctoral dissertations
 - By making research presentations and/or active participation in professional or academic meetings
 - By service on editorial boards or academic association officers
 - By service on state and national boards and commissions related to the faculty members academic expertise

Such contributions provide evidence that an academically qualified Gatton College faculty member is maintaining the academic expertise needed to meet the educational mission of the Gatton College.

Professionally qualified (PQ) faculty in the Gatton College: To be considered a professionally qualified member of the Gatton College faculty, the following conditions apply:

- Criteria for Initial Appointment with PQ Status: For initial appointments as professionally qualified member of the Gatton faculty, the faculty member shall hold a doctorate or masters or equivalent degree relevant to the business administration field that he or she has teaching responsibilities (such as an MBA, an MS in accounting, an MS in Statistics or MS or MA in economics or Law degree) and/or professional certification such as a CPA.
- Criteria for Maintenance of PQ Status: For maintenance of status as a professionally qualified faculty member, the faculty member shall demonstrate that he or she is maintaining currency in his or her academic domain by a combination of the following activities (but not limited to):

- By participating in and making presentations at professional conferences
- By membership and active participation in professional organizations
- By serving as an officer in regional or national professional organizations related to his or her academic field
- By service as a consultant to business or governmental organizations
- By receiving grants or contracts and doing related research
- By the development and participation in executive development programs
- By the development of pedagogical methodologies and materials
- By doing consulting work in his or her area of expertise related
- By publishing in peer reviewed journals or non peer reviewed reports
- By participating in professional development courses and activities. Such academic and professional activities insure that Gatton professional qualified faculty members maintain the expertise and currency in their field needed for Gatton faculty to meet the educational mission of the Gatton College.

Such contributions provide evidence that a professionally qualified Gatton College faculty member is maintaining his or her academic expertise needed to meet the educational mission of the Gatton College

13. Recruitment of faculty personnel shall be consistent with the teaching priorities and AQ/PQ qualifications listed above.
14. The scholastic standards applicable to students in the Gatton College of Business and Economics are determined by the faculty and are stated in the *UK Bulletin*.
15. Chaired Professors and Research Professorships: Appointment and Reappointment Policies
 - a. Background: The Gatton College of Business and Economics enhances its national academic and research reputation by recruiting national academic leaders as Chaired Professors and by recognizing and supporting internal excellence by naming Chaired Professors who have excelled in their academic careers and are nationally recognized scholars and leaders in their academic discipline. Gatton also recognizes outstanding research, teaching and service achievements of Gatton faculty by awarding Research Professorships to senior faculty. Faculty members that are awarded Research Professorships receive salary and/or research supplements while Chaired Professors receive summer grants and research support funding. The salary and research supplements are derived from gifts from corporations, businesses and individual supporters of the Gatton College which have, sometimes, been matched with “bucks for brains” or RCTF funds provided by state appropriations. The faculty recognition categories and appointment and reappointment processes for Chaired Professors and holders of Research Professorships are described in the following sections and criteria for review of holders of Chairs and Research Professorships follow in Appendix B. A form

to summarize achievement and activities for renewal of a chair or professorship since his/her initial appointment or since the last appointment renewal may be found in Appendix C. In addition to chair and professorship appointments, the College provides assistant and associate professors recognition as research fellows. Recipients of this recognition receive stipends which may be used for salary supplements and/or summer research support.

- b. Chaired Professors: In the Gattton College, Chaired Professor appointments are made for individuals who have established national recognition for their research and leadership in their academic disciplines. The appointment of a Chaired Professor may be made for current faculty who have distinguished themselves in their academic area or for new faculty following a national search. Chaired Professors are expected to be actively involved in the College's doctoral programs as instructors and mentors, to be research leaders in the College and in the Professor's academic area, and to maintain national recognition through professional service as association officers, journal editors or by other means.

(1) *Initial Appointment*: As noted, the initial appointment of a Chaired Professor requires a specified funding source and normally, although not exclusively, follows a national search. The conditions of the appointment will specify, in addition to compensation, expectations associated with the appointment as a Chaired Professor, details regarding Chair supplements including summer stipends and research and professional activity financial support.

(2) *Continuing Appointment*: Chaired Professors will be reviewed periodically for a continuing appointment as a Chaired Professor. This review will take place at least once every eight years after the faculty merit review process has been completed. New appointees can be reviewed sooner than eight years in order to get them on the eight year review cycle. Based on the outcome of the faculty merit review process, reviews can occur sooner than eight years at the request of the Department Chair, Associate Dean or Dean. The reviews will be conducted by a Chaired Professor Review Committee consisting of the Associate Dean of the College responsible for Faculty, and the Chairs/Directors of the academic units in the College. At its discretion, the Review Committee may request evaluation letters from senior faculty at benchmark universities. The Committee shall review the Chaired Professor's research productivity since the previous review, the Professor's record of obtaining external research funding, the Professor's record of leadership in his or her academic or professional area, the Professor's involvement in the College's graduate programs and the faculty member's involvement in external engagement and College and University service. The Committee's recommendation to renew or not to renew as well as the period of renewal will be forwarded to the Dean. The Dean will then make the final recommendation, which will be forwarded to the Provost for action by the Board of Trustees.

c. Endowed Professorships: In the Gatton College, Endowed Professorship appointments are normally restricted to current full professors in one of the academic units of the Gatton College who have established distinguished research and professional contribution records in their academic disciplines. An award of a Endowed Professorship to an Associate Professor requires an exceptional research record or may recognize a faculty member's successful record of acquiring grants or research contracts which support the College's programs. Faculty members holding Professorships are expected to be active researchers and have achieved excellence in teaching and service. Professorship appointees are expected to be involved in the College's graduate programs as mentors and instructors and to be involved in their profession as association officers, journal editors or by other means.

(1) *Initial Appointment*: The appointment of a Gatton College faculty member to a Professorship requires a specified funding source, a recommendation to the Dean from a committee consisting of the Associate Dean of the College responsible for Faculty, and the Chairs/Directors of the academic units in the College. Professorship appointments are based on the faculty member's research record (including publications and/or success in attracting research grants) and teaching excellence as well as College and University service.

(2) *Continuing Appointment*: Research Professors will be reviewed periodically for a continuing appointment. This review will take place at least once every four years after the faculty merit review process has been completed. New appointees can be reviewed sooner than four years in order to get them on the eight year review cycle. Based on the outcome of the faculty merit review process, reviews can occur sooner than four years at the request of the Department Chair, Associate Dean or Dean. The reviews will be conducted by a Professor Review Committee consisting of the Associate Dean of the College responsible for Faculty, and the Chairs/Directors of the academic units in the College. The assessment includes an evaluation of the faculty member's research productivity, academic program involvement and external service to the faculty member's professional area. The Committee's recommendation to renew or not to renew as well as the period of renewal will be forwarded to the Dean. The Dean will then make the final recommendation which will be forwarded to the Provost for action by the Board of Trustees.

d. Research Fellows: In the Gatton College, Research Fellow appointments are restricted to assistant and associate professors in recognition of research excellence. Research Fellow appointments are based on merit subject to special guidelines established in endowment statements or extramural gift agreements supporting the fellow award.

(1) *Appointments*: The appointment of a Research Fellow is for four years and requires a specified funding source and a recommendation to the Dean from a committee consisting of the Associate Dean of the College responsible for Faculty and the Chairs/Directors of the academic units in the College. Previous holders of a Research

Fellow are eligible to be re-appointed, although there is no guarantee of reappointment.

16. All non-tenured faculty are reviewed each year while tenured faculty are reviewed every other year consistent with University review procedures. The faculty review process is administered by the Dean and follows the guidelines set forth in AR II – 3:10 (date effective 12/16/00). The calendar and specific instructions for each annual review are distributed to all faculty in the fall of each year. Any substantial changes in the review process must be approved by the faculty.

Appendix A
Gatton College of Business & Economics
Merit Review Appeals Process

Gatton College faculty members have the right to appeal their merit reviews to the Gatton College Merit Review Appeals Committee which is appointed annually. The schedule for completion of the merit review process as well as the deadline for appealing merit reviews is specified by the University of Kentucky Provost's Office. The following procedures provide guidelines for the appeals process and the deliberations of the Gatton College Appeals Committee.

1. A faculty member sends his or her merit review request to the Associate Dean for Administration and Academic Affairs and a copy to the faculty member's Chair or Director by the deadline established by the Provost's Office.
2. The Associate Dean acknowledges the appeal request and indicates whether additional information regarding the appeal is required (such as the area or areas of the faculty members merit review that is being appealed or the grounds for the appeal).
3. The Associate Dean requests from the faculty member's Chair or Director the following materials related to the appeal:
 - The original copy of the faculty member's performance review with attachments
 - The faculty member's teaching portfolio (if teaching is the area of appeal)
 - The Department Chair or School's Director rationale for the merit review rating being appealed
 - A copy of the average merit scores for the faculty member's academic unit
4. The Associate Dean contacts the Gatton College Appeals Committee and informs them of the appeal and schedules the appeal.
5. The Appeals Committee selects a Chair who will arrange for individuals, deemed appropriate by the committee, to appear before the Committee such as the Appellant, the Department Chair or School Director, and a member or members of the Department or Schools faculty Merit Review Committee.
6. The Committee deliberates regarding the materials provided and the information obtained during the discussions with the Appellant and others, renders a recommendation and drafts a letter to the Dean of the College.
7. The Chair of the Committee sends the letter to the Dean.
8. The Dean makes a decision on the recommendation based on the Appeals Committee's recommendation and its rationale (including materials accompanying the recommendation) and communicates the decision, in writing, to the Appellant with a copy to the Appeals Committee Chair and the Appellant's academic unit head.

Appendix B
Standards of Performance for Chaired Professors
and Endowed Professorships

1. Chaired Professors are expected to demonstrate achievements in several, but not necessarily all, of the following areas of a faculty members performance:
 - Continuing record of scholarly publication in top, academically recognized journals In his or her academic discipline
 - Pursuit of activities that enhance the reputation of the university as evidenced by such activities as editing or co-editing major journals, election or appointment to professional association offices, or election or appointment to key public policy-making bodies.
 - Generation of external grants, contracts or donations.
 - Innovative leadership and mentoring of students and junior faculty as evidence by such outcomes as the placement of Ph.D. students and successful development of junior faculty through promotion and tenure.
 - Involvement in activities culminating in the attraction of high quality students to the area's Ph.D. program as evidenced by measures of incoming GMAT or GRE scores and student backgrounds.
 - Leadership and collaborations with scholars within as well as external to the university as evidenced by such activities as chairing major university committees, chairing program committees of national conferences or professional committees concerned with educational standards or professional development.
 - Leadership in efforts to build relationships with important external constituents as evidenced by outreach activities including special seminars held for practitioners, use of guest speakers in courses, presentations at business and professional meetings and the like.
 - Evidence of activities that have elevated the quality of life for Kentuckians. Such activities might include, but are not limited to consulting services or research outcomes that lead to enhanced economic opportunities for Kentuckians.

2. Endowed Professorship holders are expected to demonstrate achievements in several, but not necessarily all, of the following areas of a faculty members performance:
 - Continuing record of scholarly publication in top tier academically recognized journals in his or her academic discipline

- Continuing record of involvement in activities that enhance the reputation of the university as evidenced by such activities as editing or co-editing major journals, election or appointment to professional association office, or election or appointment to key public policy-making bodies.
- Continuing record of efforts and success in attracting external grants, contracts or donations.
- Continuing record of excellence in graduate and undergraduate teaching.
- Continuing record of active mentoring of graduate students.
- Continuing record of excellent service in the College and University.

Appendix C
Endowed Chair and Professorship Activities Report

Purpose: The purpose of this form, which is similar to but supplementary to the Faculty Activities Report (FAR), is to provide a format for Endowed Chair holders and holders of Endowed Research Professorships to summarize their achievements and activities for renewals of their Chair or Professorship. The form includes the categories of academic and professional achievement that holders of these appointments are expected to pursue in their role as a Chair or the holder of an Endowed Research Professorship. This form is intended to cover the period since their initial appointment or since their last appointment renewal. For Chair holders, the renewal period is for up to 5 years while the renewal period for Professorships is normally for two years.

A. Scholarly Publication

Please provide a list of referred journal articles, books and book chapters published over the review period.

Refereed Journal Articles:

Refereed Book Chapters:

Books: Invited Book Chapters:

B. Reputation-Enhancing Activities

Please provide a description of any reputation-enhancing activities undertaken over the review period. Such activities include, but are not limited to editing or co-editing major journals, election or appointment to professional association office, or election or appointment to key public policy-making bodies.

C. Institutional and Professional Leadership

Please provide a description of any institutional or professional leadership activities you engaged in over the review period. Such activities include but are not limited to chairing major university or college committees, chairing program committees of national conferences, or professional committees concerned with educational standards or professional development.

D. External Funding

Please provide a list of the source and amount of any external funding you obtained over the review period. Include grants, contracts and private donations.

Project	Funding Agency/Organization	Amount
_____	_____	_____
_____	_____	_____

E. Attracting High Quality Students:

Please provide a brief description of the activities you engaged in over the review period to attract high quality students to the College’s programs, especially the Ph.D. program. This might include recruitment of specific students, curriculum redesign, or development of promotional material.

F. Mentoring of Students and Junior Faculty Students

Please provide a list of the Ph.D. students whose dissertations you chaired over this period, the year they graduated, where they got their first job and their current job if different from their first position.

Graduate Student Mentoring:

Student	Year	First Job	Current Job
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

Junior Faculty Mentoring:

Please provide an account of the junior faculty you have mentored over the review period. What were your key mentoring activities and how has your mentoring impacted junior faculty?

G. Impact on the Commonwealth of Kentucky

Please provide a brief description of how your efforts over the review period have helped elevate the quality of life for Kentuckians.

H. Other Information

Please provide any additional information you believe is important to the evaluation of your performance over the review period. Such activities might include, but are not limited to, the development of consulting services or research outcomes that lead to enhanced economic opportunities for Kentuckians