

**Faculty Lists
Background and instructions for programs**

Faculty lists are due to NRC Friday Dec 15. And this time they mean it.

PBA will submit faculty lists to NRC for all programs, based on what we've done and on changes requested by programs received by NRC_UCB@colorado.edu by 5PM on Tues Dec 12.

Programs -- What to do – Mechanics and deadline

Option 1: Nothing. If we don't hear from you we'll submit the list we've prepared.

Option 2: *Recommended!* Check the FacList Excel for your program, change as desired, and return to us if requesting any changes.

- We will consider all changes returned to us by 5pm Tuesday Dec. 12.
- To get started:
 - Go to the private site <http://pba.colorado.edu/sasweb/guidegr/NRC/PrivateSite/index.htm>
 - Pick your program and get your Excel.
 - Download if you want to make changes.
- NRC contacts for each program have the login/password to the private site. Click [here](#) to see the (public) list of contacts.
- FYI: [Sample FacList Excel](#) with faculty names masked. This is posted on the public site, no password needed.

To review and change: Keep reading.

All FacList Excls contain three lists:

LIST	All individuals to be submitted to NRC for this program, with classification as Core, New, or Assoc(iated)
NOT_LIST	All individuals affiliated with and/or with committees or supervision in this program who will NOT be submitted to NRC for this program, with reasons why not.
All_Rows	All individuals in LIST and in NOT_LIST, with rows for all programs in which they have affiliations and/or committees or supervision. This allows you to see all programs where an individual has activity, and if/how reported to NRC in each.

You do not have to review the lists or make any changes or add any info. We recommend that you do review your list.

- If we receive no changes we will submit the list shown in tab LIST to NRC.
- If you DO make changes please change and return only ONE COPY per program, by 5PM on Tues Dec 12. Here are the mechanics. See the section on Materials to Assist with Review and Changes for legitimate reasons for change.
 - To make changes: Enter in cells with **yellow headers** in the LIST, NOT_LIST, and/or All_Rows tabs. These are the "ShouldBe" and "WhyChange" columns.
 - People listed in LIST and NOT_LIST are also in All_Rows. To change a person, make the change in one place only, on either tab where the person is listed.

- The “ShouldBe” column has a pull-down limiting the values to Core, Assoc, New, “keep as is,” and “x delete.” You may also leave the ShouldBe column blank, indicating no change. In fact, we expect that 90%+ rows will have ShouldBe blank.
- Put a reason for change in the “WhyChange” column. **We will not consider changes with no reason given.**
- Please don’t change anything in columns other than “ShouldBe” and “WhyChange.” Do not delete rows. Don’t add rows except at the end of the All Rows tab.
- To make additions: See the ? rows at end of the All_Rows tab; fill in all ? cells. You can add rows as need be. Please include the FID (faculty or employee ID, in the far right column) if at all possible.
- If you see two rows for a single program that are actually one person, please tell us. Enter “x delete” in ShouldBe in the errant row, and enter “same as” and the proper FID [the FID from the other row] in the WhyChange column. Do NOT change the FID in the FID column.
- Then email to NRC_UCB@colorado.edu. PBA will process.

We will consider all changes received by 5pm Tuesday Dec 12. We will not necessarily make all changes requested, because we must conform to NRC rules and have some degree of comparability over programs.

We do ask that you carefully consider all requested changes, and provide reasons for change. We have already followed the rules and NRC at UCB policies in creating the lists, so we’ll need to know how your interpretation of the evidence differs. We will not consider requested changes with no reason listed.

Faculty Lists**Materials to assist in review and considering changes**

- What's on a "faculty list" – what we submit to NRC
- How the faculty lists will be used in the NRC study
- NRC timetable for CU-Boulder
- Evidence we've used at UCB
 - On affiliation with CU-Boulder and with the program
 - On activity in the doctoral program – student committees and instruction of dissertation course sections
- How the evidence has been used to classify an individual in a program as Core, New, Associated, or not listed, per NRC rules
- Allocations and overrides. These pertain mostly to individuals appearing on the faculty lists of multiple programs. There are 142 such individuals in the 32 lists, appearing on two or three lists each. Allocations and overrides are especially critical for faculty involved in neuroscience and in cognitive science.
- The columns shown in the Excels – Definitions, and why they're shown
- Issues with particular programs – including APS, ATOC, COMC, CHEM, GEOL, NRSC, COGS, PSYC, comparative literature, English, IPHY, and EBIO.
- Legitimate reasons for changing an individual's listing
- Resources for checking details on an individual appearing in your Excel
 - Committees
 - Dissertation supervision
 - Committee members from outside UCB

Faculty Lists

What's on a "faculty list" – what we submit to NRC

There is one faculty list for each program (e.g., History, Psychology). Each list is by person. Each entry shows

- The NRC program (e.g., Chemistry and Biochemistry)
- The person's name, contact information (email, phone and mailing address), tenure status, categorization of job title
- Activity of the person in the program: N of committees total, and N chaired, if any
- Categorization of the person in the program as
 - Core –
 - Formal current affiliation with the program AND
 - On committees in the program since summer 2001 *or* currently on the program's admissions or curriculum committees
 - Core (type emeritus) –
 - Emeritus with the program AND
 - Chaired committees in the program since summer 2003, *or* taught regular credit graduate courses summer 2003 or later
 - New –
 - Not core AND
 - Tenured/tenure-track in the program
 - AND hired as TTT since summer 2003
 - Associate –
 - Not a "designated faculty member" in the program AND
 - Has been on committees in the program, not solely as an outside member

A person may be on the list for multiple programs, and need not be in the same categorization in each. However, someone on a list as "new" for one program must be "new" for all programs where he's listed.

In the above, "committees in the program" means any of

- Final examination, defense, dissertation committees for students in the program
- Comprehensive exam committees for students in the program who have not graduated
- Instructor of record on SIS for dissertation course sections (e.g., CHEM 8991)

And "chaired" means either of

- Recorded as chair or co-chair of final examination or comprehensive exam committee
- Instructor of record on SIS for dissertation course sections (e.g., CHEM 8991)

Faculty Lists

How the faculty lists will be used in the NRC study

Use depends on classification – as Core, New, or Associated

- New and core (not associated): For counting program faculty – total number and percentage minority, female, and non-US
- New and core (not associated): Will receive a faculty questionnaire from NRC. A person will receive only one questionnaire regardless of how many programs the person is listed in. The questionnaire collects
 - Information NRC will use for locating publications, citations, honors/awards: The CV, all names published under, lists of books published, etc.
 - Educational and employment background
 - Ratings of the importance of various factors (e.g., size, time to degree) in determining the quality of research doctoral programs in the same area of study (e.g., English, sociology)
- New and core who respond to the faculty questionnaire: A sample of respondents will receive a “ratings questionnaire” asking for quality ratings of a sample of 15-20 programs in an area of study.
- New, core, and associated: Listed as “program faculty” on the materials provided to ratings questionnaire participants. E.g., Dr. Brown, in history at Purdue, may be asked to rate UCB, Stanford, Wayne State, Arizona . . . programs in history. He will receive a page on each of those programs listing its faculty by name and their categorization as core, new, or associated. The page would also list the program’s graduation rate, percent female faculty, and other statistical info.
- Core and associated faculty who are listed in multiple programs will be assigned an “allocation” by NRC based on a formula applied to data on the faculty list (classification, N of chairs, N of total committees). The allocations for an individual cannot sum to more than 100% over programs, and will be used as weights on the individual’s publications, citations, honors, etc. in calculating averages for the program.
 - The formula appears at <http://www7.nationalacademies.org/resdoc/FAQ.html>, question 42
 - The allocation formula gives higher weight to core than associated, higher weight to being a chair than to committees per se, and higher weight to more committees. It uses the actual number of committees reported on the faculty list.
 - All averages will be expressed as “per part of a person.” So if Linda Watkins’ allocation is .60 in psychology and .40 in neuroscience, she will contribute (.40 x her total publications etc.) / (.40 person) to the neuroscience average.
 - Once NRC assigns the allocations, the institution may override them, setting each one anywhere between zero and one as long as the sum for an individual over programs is no more than one. The override will not affect listing on materials for the ratings questionnaire, but will affect use of the individual’s publications, citations, etc. in calculating averages for the program.
- Faculty listed as new on multiple programs will be assigned allocations that equally split their publications, citations etc. among their several programs. This allocation can also be overridden (we think).

Faculty Lists**NRC timetable for CU Boulder** (as of Dec 6 2006)

As of Dec 6 2006

Faculty lists – NRC end

- Due to NRC by 12-15-06
- NRC will return with calculated allocation by ?
- We can submit overrides to allocations in “late Feb or early March”

Faculty lists – UCB internal

- Excels with lists posted, programs notified Dec 6
- Open houses at PBA (basement of Regent, 1-B29)
 - Fri Dec 8, 12-2
 - Mon Dec 11, 2-4
- PBA available for in-program-offices assistance, Dec 6-12. Email NRC_UCB@colorado.edu for help.
- Program-requested changes due to NRC_UCB@colorado.edu by 5pm Tues Dec 12
- PBA submits lists for all programs to NRC 12-15
- Handling overrides – TBD

Faculty questionnaire

- Pre-population submission (data on selected questions), deadline January
- NRC will contact UCB faculty after pre-population submission received and processed
- If faculty answer by 2/15/07 then eligible to be sampled for rating questionnaire
- Answer by 4/1/07 for final data file

Rating questionnaire

- Each respondent will receive a list of program faculty for a sample of 15 to 20 programs
- Will administer beginning April 1, 2007

Student questionnaire

- UCB student lists sent to NRC 11-7-06
- NRC will contact students ??
- Deadline for response 4/1/07

Institutional questionnaire

- Submission of completion matrices and other questions, deadline of 2/1/07

Program questionnaire

- Full questionnaire (counts, completion matrices, time to degree, financial support, etc.) for all programs, submission deadline 2/1/07

Faculty Lists

Evidence we've used at UCB

On affiliation with CU-Boulder and with the program

On activity in the doctoral program – student committees and instruction of dissertation course sections

Evidence on affiliation with CU-Boulder and with the program

- With the campus
 - PeopleSoft, Boulder campus appointments in effect 8/28/06 or 10/1/06 not recorded as terminated, dead, retired, or emeritus. The appointment need not have any time or money associated with it. It can be a courtesy appointment. It need not be for a “faculty” position. An individual may have many PeopleSoft appointments simultaneously; we looked at all of them.
 - PeopleSoft, emeritus appointments in effect 8/28/06 or 10/1/06 and not recorded as terminated or dead.
- With a program
 - By the department listed for a PeopleSoft appointment defined above, for any one of an individual's appointments.
 - By the tenure locus department(s) listed on FIS (Faculty Information System)
 - From lists of affiliated faculty from Neuroscience (website list), Cognitive Science (website list), and Comparative Literature (provided to NRC at UCB). *These people are also considered affiliated with the campus.*
 - Occasionally we consulted the department on the SIS instructor record (screen 1C1) if we could find no other program affiliation for a person.

Evidence on activity in the doctoral program

- Student committees
 - We obtained from the Graduate School the paper final examination forms for students receiving PhD's summer 2001 through spring 2006, and comprehensive exam forms during that period as well. We took the comprehensive exam forms only for students where we had no final exam form.
 - We entered the faculty names on the exam forms, noting chair and co-chair and associating the committee names with the student's name, major(s), and committee date.
 - We sifted and matched until we were satisfied that we had associated all activity for one faculty person, with that one person. We obtained PeopleSoft employee IDs for most committee members, and SIS instructor IDs for most remaining. We assigned a “PBA ID” for those with no trace of UCB employment or instruction. Nevertheless, errors remain. The “Programs – What to do” section tells how to handle apparent duplicates (one person with 2 rows for one program).
 - *We associated committees with programs by the student's major(s). Committee service for students in X and neuroscience, or X and cognitive science (these students have two majors) is associated with BOTH program X and with neuroscience or cognitive science.*
- Dissertation supervision
 - From SIS we drew all dissertation course sections with enrollment, summer 2001 through fall 2006. These are courses with course number 8990-8999.
 - We calculated the first and last terms a student was enrolled with a particular faculty member. One student might be enrolled with one, two, or many faculty, over terms.
 - We counted being instructor of record (on SIS) for an enrolled dissertation student as the equivalent of being a committee chair, even if the enrollment was one term only.

- *We associated dissertation supervision/instructor of record with programs by the course subject.*
- Summarizing activity – We end up with two key counts for each faculty member IN EACH PROGRAM:
 - ADVISOR: Number of distinct students for whom the faculty member was chair (or co-chair) or dissertation-section instructor.
 - MemberOnly: Number of distinct students for whom the faculty member was committee member but not chair or dissertation-section instructor.
- Per NRC rules, activity for emeritus-only faculty is counted differently. Only activity from summer 2003 and later (not 2001) is counted. Furthermore, committee membership only is insufficient; emeritus-only are counted only if they have been chair/dissertation supervision, 2003 or later.

Faculty Lists

How the evidence has been used to classify an individual in a program as Core, New, Associated, or not listed, per NRC rules

See [summary diagram](#)

Listing and classification are based on three things:

- **Status campus-wide (not in a program)**
 - Dead – Cannot be listed at all
 - Affiliation with the campus: From current PeopleSoft appointment or other “formal designation” – Can be listed only if there is some affiliation. See the section on Evidence for what we used.
 - Emeritus – Can be listed only if chair (not member only) since 2003-summer [unless listed due to another affiliation and categorization]
 - TTT (tenured-tenure-track) new – Can be listed even if no committees, if hired 2003-summer or later.
 - If active in 2 programs, must be new in both or not new in both
 - Individuals affiliated with an NRC program at a different university may not be listed by us. This covers people at UCDHSC, at CSU, Kansas, etc. It does not cover people at non-universities including NIST, NCAR, Sandia labs, etc.
- *Activities in the program*
 - Advisor – committee chair/co-chair and/or dissertation-section instructor/supervisor. See the Evidence section for definitions.
 - Per NRC being a chair doesn’t count if the person is the “outside member” of the committee.
 - PBA has judged (and John Stevenson concurs) that an individual cannot be both chair and the outside member (for the same student), and cannot supervise/instruct the dissertation section and be “outside.”
 - Result: If a person chairs/supervises in a program and has some campus-wide current appt/formal designation, that person is listed as associated faculty in a program even if he has no affiliation in the program.
 - Member (but not chair/co-chair) of final or comprehensive examination committee
 - But not if outside member. Outside members are not identified on examination forms, and definitions differ over departments, and the NRC definition is unclear or inappropriate. Therefore we have defined “outside member” empirically from the faculty member’s point of view, as follows:
 - If an individual is on committees in a program, but not supervising dissertation enrollments or committee chair, and has no formal affiliation with the program, then do NOT list for NRC for this program at all – consider these as “outside member” committee service.
 - The same definition has been used at other AAU universities.
 - On an “admissions or curriculum committee” for the program currently – call this program administrative service. We have not attempted to collect/record this info. Therefore we have not used program administrative service at all in categorizing.
 - *A program can reclassify someone with an affiliation with the program from “not listed” to “Core” or “Assoc” by indicating (in WhyChange) current administrative service.*
 - For emeritus only, teaching credit graduate courses listed in the catalog in the last 3 years (summer 2003 and later). We have not attempted to collect/record this info. Therefore we have not used course-teaching at all in categorizing emeritus.

- *A program can reclassify an emeritus faculty (with an emeritus appointment on PeopleSoft) in the program from “not listed” to “Core” or “Assoc” by indicating (in WhyChange) that the individual has taught a regular graduate course for credit since summer 2003.*
- **Affiliations with the program**
 - Can be listed as core or new in a program only if there a formal affiliation with the program. See the Evidence section for how this is determined.

Exceptions

- We have classified all individuals in the Neuroscience (NRSC) and Cognitive Science (COGS) programs, who would be listed for NRC per the rules, as associate, not core. This is consistent with practice at other AAU universities. It reduces the allocations within NRSC and COGS and increases them within the “home” program.

Faculty Lists Allocations and overrides

“Allocations” are essentially weights for a faculty member’s publications/citation averages in each program an individual faculty member is reported in. Most faculty listed are listed in one and only one program; for (most of) them the allocation will be 1.0, or 100%.

Allocations and overrides thus pertain mostly to individuals appearing on the faculty lists of multiple programs. There are 142 such individuals in the 32 lists, appearing on two or three lists each. Allocations and overrides are especially critical for faculty involved in neuroscience and in cognitive science.

Allocations are made initially by NRC from the faculty lists. We will have opportunity to override the NRC-assigned allocations in late February or early March.

From the data we submit on the faculty lists (classification as Core, New or Assoc; N of chairs/supervisions; N of other committees), NRC (actually Mathematica, their contractor) will calculate the “allocation” for individuals on multiple lists. The allocations for an individual cannot sum to more than 100% over programs, and will be used as weights on the individual’s per-person publications, citations, honors, etc. in calculating averages for the program.

- The allocation formula gives higher weight to core than associated, higher weight to being a chair than to committees per se, and higher weight to more committees. It uses the actual number of committees reported on the faculty list.
- All averages will be expressed as “per part of a person.” So if Linda Watkins’ allocation is .60 in psychology and .40 in neuroscience, she will contribute (.40 x her total publications etc.) / (.40 person) to the neuroscience average.
- See <http://www7.nationalacademies.org/resdoc/FAQ.html> for the formula - in question 42.

Once NRC assigns the allocations, the institution may override them, setting each one anywhere between zero and one as long as the sum for an individual over programs is no more than one. The override will not affect the individual’s being listed on materials for the ratings questionnaire, but will affect use of the individual’s publications, citations, etc. in calculating averages for the program.

Faculty listed as new on multiple programs will be assigned (by NRC) allocations that equally split their publications, citations etc. among their several programs. This allocation can also be overridden (we think).

The FacList Excels show both

- AllocRaw – As we think NRC will calculate from data listed for the individual. Calculated with the formula shown in question 42 of the NRC FAQ.
- AllocMod – A modified allocation planned for use when we override.

We don’t have to get the overrides worked out now. The AllocMod is a proposed/draft override; there will be others. The AllocMod is of interest to mostly to NRSC, COGS, and PSYC, which has the highest number of listed faculty also listed in NRSC and COGS.

The modified allocation

- Sets the allocation to a maximum of 10% for everyone listed for Neuroscience and Cog Science.

- The publication and citation averages for these programs should calculate the same with all faculty at 10%, as with all faculty at 100%.
- Ups the allocation in the “home” programs (most predominantly psychology and IPHY) to compensate.
 - This reduces the variance among allocations within the home program, so that the per-person publications/citations of people active in NRSC and COGS get *almost* as much weight in PSCY, IPHY, etc. as those of people who are only in the home program.
 - This modification reflects our plan for overrides as of Dec 6 2006. There may be other overrides, and this plan may change.

Faculty Lists

The columns shown in the FacList Excels

Column head	Definition
FacName	Faculty name
NRCProgCode	NRC program code. For codes used see http://pba.colorado.edu/scripts/broker.exe?_program=nrclib.fields_show_prim.sas&_service=default
Report	If/how classified on faculty lists to NRC
No	Do NOT list for NRC - reason
ShouldBe	FOR PROGRAMS to change classification
WhyChange	FOR PROGRAMS to justify change. We will not consider requested changes with no reason given.
NProgsTotal	N of programs to submit to NRC, total, for this person
AllocRaw	Allocation, raw w NRC calc -- for this FID x this program
AllocMod	Allocation, this FID x program, UCB modified
Advisor	N stu – Committee chair OR diss sec instructor/supervisor
MemberOnly	N stu – Committee member only, not advisor
OnSpecialList	On list FOR PROG, web/special list (NRSC, COGS, Comp Lit only)
PBADeptOther1	PBA dept, PS curappt, **other than** an NRC prog. For codes see http://pba.colorado.edu/scripts/broker.exe?_program=misclib.gmapshow.sas&_service=default&concept=DeptList
TenureDept1	Tenure dept 1, from FIS
TenureDept2	Tenure dept 2, from FIS
Dead	Dead, estatus D in current appts
OvvCurAffil	Overall any current affil with the CAMPUS: PS non-term/ret, emeritus, special list
CurAffilProg	PROGRAM (on the row) current affil, PS non-term/ret, emeritus, TTT/not, special list
OvvEmeritusOnly	Overall Emeritus appt, no other current non-term/retired
OvvNewTTT	Overall TTT (tenured/ten-track), hired in position 6/30/03+
TTTApptCur	TTT appt IN PROGRAM listed on the row, PS current
SISInstrRec	On SIS instructor record with dept = PROG listed on the row
JobTitle	Job title, PeopleSoft current
Mod	Mods: Any to the classification for this FID in this program, after formula
FID	Faculty ID

Faculty Lists

Issues, oddities, exceptions with particular programs

Most programs have a 1-to-1 relationship between department, major, degree program, course subject, and NRC program. E.g., History.

Exceptions

- Students in both APS/APAS program, and in ATOC, have enrolled with major APAS through spring 2006. We determined which students were actually ATOC by checking enrollment in dissertation sections APAS899x and ASTR899x, and consulting with the departments.
- ATOC, as above
- Business, many majors to 1 dept and degree and program
- COMM2 majors, JOUR dept, JOUR diss sections all map to the COMM program
- 5 Ed majors to 4 NRC programs (EPSY with REME), but only one dissertation-section course subject and faculty department
- CPHY to chemistry
- Geophysics GEOP to GEOL geology
- Neuroscience NRSC and Cognitive Science COGS differ from other programs in many ways. Students are not admitted from the outside, but from a “home” UCB department, and they retain the home-department major, with NRSC or COGS as the second major. There are no NRSC or COGS dissertation sections, no faculty with NRSC or COGS as tenure locus or roster department. Affiliation info comes from posted web faculty lists. Committee data for students with NRSC and COGS majors have been “exploded” to count in BOTH NRSC/COGS and in the home program.
- Comp Lit submitted a list of faculty with formal affiliation who do not have Comp Lit appointments of any kind on PeopleSoft
- Programs that will not be submitted to NRC:
 - ENVS, Atlas – too new, no degrees yet
 - Education, business, SLHS – excluded from NRC taxonomy
 - Music, classics – too few degrees
- English, all enrollments in dissertation sections in a term recorded on SIS with the graduate chair as instructor. Therefore not useful for identifying dissertation supervisors. Exception: Fall 2006 – we have used ENGL dissertation enrollments for fall 2006 only.
- IPHY and EBIO. Seven faculty moved from what was EPOB (now EBIO) to Kinesiology-to-IPHY between fall 02 and fall 03. In effect, one of three “divisions” in EPOB moved. For these 7 only, for EPOB/EBIO dissertation sections and committees of students in EPOB/EBIO only, for sections and committees before fall '04 only, we have reclassified the dissertation sections and committees to map to IPHY not EBIO. This was done after consulting with Russ Moore and John Stevenson. The assumption is that these activities/students were in research areas which now would be in IPHY.

Faculty Lists**Legitimate reasons for changing an individual's listing**

- Eliminate a New person entirely (“x delete”) if that person has no prospect of being involved in doctoral education in the program.
- Eliminate (“x delete”) others entirely from a list if you know that
 - The person is currently formally associated ONLY with another University, in a doctoral program. E.g., Prof A left in June for University B, is not on leave without pay, or leave with pay, or still appointed in an institute, and has no formal continuing affiliation with UCB even though his PeopleSoft records would make us think he does. Or
 - The person is dead. Or
 - The person actually has no current affiliation with the campus at all (beyond “retired from”). Or
 - The person has not really been involved in doctoral education in the program, despite the apparent committee memberships, supervision, and/or chair service.
- Reduce the classification from Core to Assoc if the person is not TTT (tenured/tenure-track) and you think the person has had some role, but a very limited role, in doctoral education in your program
- Increase the classification from Assoc to Core if the person has a definite role in administering the doctoral program
- Indicate that a person should be added to your program by changing “ShouldBe” to Core or Assoc or New. Do this only if the person has a current formal affiliation with the campus AND
 - New: If currently TTT in your program, and started as a TTT on campus 6/03 or later
 - Core: If role in administering the program (e.g., admissions, curriculum committees) or student committees/supervision not recorded on SIS or on committee exam forms.
 - Core, if emeritus: If has taught a regular graduate course in the program since summer 2003. We did not look for these.

Faculty Lists

Resources for checking details on an individual appearing in your Excel

Resources including listings of

- Committees
- Dissertation supervision (course sections)

All are available on the UCB private site at

<http://pba.colorado.edu/sasweb/guidegr/NRC/PrivateSite/index.htm>