

# Faculty Workload Guidelines

## Preamble

The purpose of this policy statement is twofold. First, it provides guidance to the faculty, Chairs and the Dean in making assignments of workload to faculty. Second, it assists in an effort to equitably distribute faculty responsibilities across faculty in the College over time. It is acknowledged that there is rich diversity across units and individual faculty members in the College, and that simplistic approaches to equity in workload will not work.

Through time these guidelines should assist all involved to make more equitable workload decisions through discussion, negotiation, and resource allocation. That is, this policy and its implementation shall assure that full-time faculty members have comparable total effort, although individual distributions of teaching, service, outreach, and research may vary across faculty members.

This document is based on the University requirement that a faculty member's responsibilities be allocated across various apportionment categories (please see the Appendix). According to the Board of Regents (BOR) Bylaws 4.3 the "terms of this apportionment are to be reviewed periodically and may be changed by mutual consent. Within the terms of this general apportionment of responsibilities and subject to a faculty member's general area of competence, the details of a faculty member's specific assignments or job description should be subject to joint consultation but are to be determined by the department chair, unit administrator, or director concerned" (UNL General Principles of Faculty Evaluation: Process, Criteria, and Standards-subsection on Criteria).

## Definitions

- "Faculty Workload" refers to all faculty activities that contribute to the accomplishment of unit-related activities and responsibilities: research/creative activity, teaching, service, outreach, and extension (where appropriate). As such, "Faculty Workload" may be conceptualized at both the individual level and the unit level.
- Apportionment "refers to the specified division among teaching, research, service, extension, and administrative responsibilities making up a faculty member's University appointment" (BOR Bylaws, 4.3.d).
- "Faculty" are defined by the College's bylaws.

## Principles underlying CEHS workload policy

1. The policy reflects the CEHS mission and values.
2. The policy involves communication among all parties invested in the appointment.
3. The policy encompasses the total faculty role.
4. The policy needs to be flexible and responsive to the needs of individuals and units (over time, over career stage, across the mission, across individuals).
5. The policy allows for differentiated staffing.
6. The workload policy informs an individual's performance evaluation, but it is not the same as evaluation. The former adopts a prospective perspective,

whereas the latter is retrospective.

7. The policy takes into account a unit goals/needs/mission as well as an individual faculty member's goals/needs.
8. The policy needs to be capable of addressing multiple timeframes (semester, annual, and multiyear).
9. Each unit is responsible for contributing to the mission areas: research, teaching, service, and outreach.
10. The workload policy supports, but does not replace judgment in determining the distribution of work for individuals or among groups of faculty over time.
11. It is the chair's responsibility to strive for equity in faculty total effort over time.
12. A faculty member's workload will be consistent with tenure and/or promotion and annual evaluation guidelines.

### **Principles underlying apportionments**

1. The total apportionment across all areas will total 100%; areas are defined in the Appendix.
2. "... no special adjustments of norms for units or individuals shall alter the University's fundamental criterion: all faculty members must do scholarly or professional work that demonstrates creative achievement" (UNL General Principles of Faculty Evaluation: Process, Criteria, and Standards: Criteria).
3. Anyone with a teaching apportionment must teach a minimum of 1 course per academic year.
4. It is "... generally expected that a faculty member's apportionment of responsibilities shall be relatively stable from year to year, unless there is reasonable justification for change" (BOR Bylaws, 4.3.d).
5. Appropriate management of apportionments by administrators seeks to best serve student interests, faculty interests, and meet departmental responsibilities by maximizing the application of faculty expertise.
6. A change in the apportionment of duties cannot be made unilaterally by administrators or by faculty members.
7. The specific apportionment of a faculty member's responsibilities shall be reviewed periodically.
8. Either the faculty member or the responsible unit administrator may initiate discussions of changes in apportionment.
9. In the process of any such discussions, both the faculty member and the unit administrator shall act in good faith to reach a mutual agreement.
10. There will be a written statement by the chair of the agreed upon apportionment.
11. All individuals are expected to perform department and/or college service.
12. External funding is considered to be part of load unless there is other significant effort in progress. The determination of whether such effort is considered "significant" is made by the relevant administrator(s) in collaboration with the faculty member.

Note: If the faculty member and the unit administrator are unable to reach mutual agreement with respect to changes in apportionment of the faculty member's responsibilities, the unresolved issues between them shall be expeditiously reviewed and

decided by an elected faculty committee of the faculty member's tenure home college (see Regential Bylaws 4.3.b.2).

### **Guidelines:**

The metrics below are used to determine a faculty member's apportionment values.

#### Teaching

- Courses

Guideline 1: A three-credit course constitutes a 10% apportionment for the academic year. Each department is to define this standard based on their individual circumstances (e.g., the typical enrollment, whether this refers to graduate or undergraduate level, etc.).

- Advising

Guideline 2: Three to ten fulltime graduate students constitutes a 5% apportionment for the academic year. Each department will determine the valuing of specific factors (e.g., nonthesis versus thesis students, doctoral student supervision, doctoral committee chair, doctoral committee member, doctoral committee Reader, masters/EdS committee chair, masters/EdS committee member, endorsements, etc.) and their interactions.

#### Research/Scholarship/Creative Activity

Guideline 3: Research, scholarship, and creative activity will have a focus within the Unit, Department, or College mission and that this body of work is recognized by professional peers.

Guideline 4: A record of outside peer-reviewed or professionally-reviewed publications or creative exhibitions, that on average, results in one to two refereed publications/creative exhibitions per year (in addition to other publications/creative exhibitions that may not be refereed, involvement in obtaining patents and technology transfer, etc.), and on average, at least one national professional meeting presentation per year will constitute a 30% apportionment.

#### Service

There are two facets to Service: Service to the institution and service to the discipline.

- *Service to the Institution:* This category reflects service or leadership roles at the Department, College, Cooperative Extension, Division, Institute, Campus, or University level. It represents active participation on committees that focus on issues or directives of the institution, which includes assuming a leadership role on one or more committees or actively participating on one or more committees per year. For senior faculty service would also include formal mentoring of junior faculty. Departmental and college citizenship is expected of all faculty.
- *Service to the Discipline:* This category reflects service involving active participation in professional or governmental organizations at the local, state, regional, national, or international level. This participation may include serving on committees, being an officer in an organization, and/or developing a conference program. It also includes providing professional peer reviews, news

releases, or other means for informing the popular media; jurying creative work; serving on external review teams; and speaking to local, regional, national, and professional agencies.

Guideline 5: Balanced involvement across service to the institution and to the discipline will constitute 10% to 20%. Among other issues, departmental size is an important factor in determining participation on committees. Service loads generally will not exceed 20% unless there are unusual circumstances that are approved by the Department Chair and/or the Dean.

#### Outreach/Non Extension Appointments

Guideline 6: A record of, on average, one to two documented outreach projects per year will constitute a 5% apportionment. A non exhaustive list of examples of outreach projects are conducting workshops, curricular development associated with implementing an intervention program, serving as an expert witness, providing clinical services, appearing in the popular media, testifying to governmental bodies, etc.

#### Extension Appointments

Guideline 7: Typically, extension faculty have 3-5 program goals on which they work at any one time and the goals vary in complexity. The objectives of some goals can be achieved in two or three years while others require career long efforts. These educational program goals typically address critical issues impacting individuals, families, communities and businesses. Apportionment is negotiated with the Cooperative Extension Division.

#### Administration

Guideline 8: The corresponding apportionment is determined by the college and/or university administrator(s).

#### **Additional Issues to Be Considered**

*Issues to be considered by the administrator and faculty member in load determination:*

#### Teaching

Some factors that may influence an individual's load and apportionment include but are not limited to:

- New course preparation.
- Instruction of graduate students.
- Distance education courses.
- Course delivered off campus.
- Courses with substantially higher than standard enrollment.
- Courses taught outside the faculty member's area of expertise.
- Higher than expected numbers of students advised or in independent studies or practica
- Development of new curriculum, programs or courses
- Special efforts in recruitment or retention of students
- Documentation required for accreditation and professional approvals
- Type of course (e.g., Practicum/Field Experiences/Independent Studies/Student Teaching supervision courses, etc.)

- Intensiveness and independence of advisees
- Allocation of graduate assistant help.
- Courses with substantially less than standard enrollment.
- Courses regularly and repeatedly taught over time.
- Preparation and management of grants related to teaching

The following examples are not meant to be exhaustive, but rather to exemplify some of the tailoring that will need to take place within the College's departments.

Example 1: In a particular department the governance structure (i.e., the chair and the department faculty) may decide that a studio course with 15 students is equivalent to 1 ••• times the three-credit standard. Therefore, the studio course would be "worth" 15%.

Example 2: In a particular department a course that involves teaching 100 students with use of a graduate assistant may be considered to be equivalent to teaching 30 undergraduate students. Therefore, the large lecture course would be 10%. However, without the assistance of a graduate student the large lecture course might be equivalent to 13-15% apportionment.

Example 3: In a particular department a laboratory course of a given size without graduate assistant is "worth" 15%, but with a graduate assistant the course is worth 10%.

Example 4: In a particular department a two-credit course may defined to be "worth" less than 10%. Conversely, a four-credit course may be defined to be "worth" more than 10%.

### Research

Some factors that may influence an individual's load and apportionment include, but are not limited to:

- Grant productivity and time framework for grant projects
- Beginning a new line of research
- Variances in time needed for different research methodologies
- Availability or lack of availability of research assistant help or funding.

### Service

Some factors that may influence an individual's load and apportionment include, but are not limited to:

- Recognition that particular committees have heavier workload than others
- Recognition that some committees may have a heavier workload than others in certain years (e.g., P&T)
- Leadership in professional organizations or activities (Presidencies, chairmanships, committee activities, etc.)
- Professional advocacy such as testifying at governmental hearings
- Editorships
- Number of Chaired Committees
- Number of Committees.

### Outreach/Non Extension Appointments

Some factors that may influence an individual's load and apportionment include, but are not limited to:

- Recognition that some individual projects may require a greater commitment of a faculty member's resources than a collection of others.
- The amount of funding received for outreach from grants, contracts, and/or fees collected. (This also includes whether or not this funding is increasing, decreasing, or remaining constant over time as well as whether it is internal/external to the College and/or University.)
- In the case of workshop(s), the number of participants in the workshop(s) and their evaluation of the quality of the workshop(s).
- The project's delivery medium (e.g., distance technology, face-to-face, curricula distributed via web or via CDs, etc.).
- Indications of the demand and need for a particular outreach project.
- The benefit to a particular outreach project's constituents.
- A project's congruence to unit, department and college's mission, goals, and priorities.
- The degree of fit between project needs and the faculty member's expertise.
- A project's developmental stage (e.g., needs assessment, methodological development, pilot, initial study, replication, etc.).
- A project's product(s) (e.g., technical report(s), scholarly presentation(s), public performances, etc.).
- Awards received/constituents' evaluative ratings.
- Thematic nature of the projects
- The extent of collaboration with professional colleagues.
- Use of and number of undergraduate/graduate assistants.
- Repetitiveness of content (e.g., same workshop delivered multiple times)
- The project's setting (i.e., local, regional, state, multi-state, national, international)

### Extension Appointments

A factor that may influence an individual's load and apportionment include, but is not limited to:

- Consideration of the 'difference or outcomes' the educational program is making not simply by the number of educational activities, publications or media items developed and delivered.

### Administration

Some factors that may influence an individual's load and apportionment include, but are not limited to:

- Extensiveness of the responsibilities.
- Amount of assistance available to accomplish the administrative responsibilities.

### **Appeals Process**

It is expected that most apportionment allocations will be determined to the mutual satisfaction of the faculty member and the chairperson through an Annual Review meeting and conversation. This conversation should adhere to the definitions, principles and guidelines provided in the CEHS Faculty Workload Guidelines document approved by the faculty.

When a disagreement occurs about a faculty member's apportionment, the faculty member and the chairperson should try to resolve it amicably. If a resolution is not reached, the faculty member may initiate the appeals process.

1. The appeals process begins when a faculty member notifies the Dean's Office in writing that he or she wishes to appeal his or her apportionment. This notification should occur within 5 business days after the last conversation or meeting in which the faculty member determines it is unlikely that a mutual agreement will be reached.
2. The Dean's Office will notify the FAC chair of the appeal. Excluding the appealing Faculty member's department, the FAC chair will randomly select and appoint two FAC representatives and two representatives from the Chair's Council to serve on an Apportionment Appeals Committee. All four members of the appeals committee will be from a department other than the department within which the appeal is taking place. At least three departments will be represented on the committee.
3. The FAC chair will acknowledge the appeal in writing and ask the faculty member and the chairperson to provide a response to the situation in writing. This response is to be based on the CEHS workload document. Both the chair and faculty member will provide a one-page response summarizing their viewpoint related to the apportionment appeal. Supplemental documentation (not to exceed five pages) to facilitate understanding of the appeal may also be provided, if desired.

The response must be submitted within 10 business days after the request for response by the FAC chair. The Apportionment Appeals Committee may also request an opportunity to speak to each party in person.

4. Within 15 business days of receiving of the Faculty member's and chair's responses, the Apportionment Appeals Committee will meet and will provide a written document that includes a decision and rationale. This decision will be binding for the academic year in question. The Apportionment Appeals Committee document will be sent to the Dean, the Faculty member and Chairperson.
  - 4a. If the Apportionment Appeals Committee determines that it is not possible to agree to a majority decision, the response documentation will be forwarded to the Dean for a final decision.
5. In the spirit of continuous quality improvement, the FAC and the Chair's Council will participate in an orientation in the early fall, each year. The purpose of the orientation is to acquaint all potential members of the appeals committee with the CEHS Faculty Workload Guidelines, Appeals Process, and examples of workload allocations across the College.

## **Appendix**

### **Board of Regents Apportionment Category Definitions**

Definition of Teaching: All activities related to teaching credit-generating courses, whether residential or distance, with regularly enrolled students and general student advising.

Preparation for a course

- Development of material for new courses and curricula
- Preparation of lectures and demonstrations

Time in the classroom (or equivalent for distance courses)

- Instructing a recurring credit class or section of a class in a formal setting
- Supervision of students in independent study courses

Direct contact with students related to the course

- Supervision of graduate students on thesis and dissertation research
- Interacting with students during office hours (or via distance)

Administrative duties related to the course

- Supervision of teaching assistants
- Class rosters
- Thesis/Dissertation committees

Time spent in evaluations related to the course

- Preparation of evaluation tools (exams, quizzes, assignments, etc.)
- Grading of exams/quizzes
- Evaluation of student-prepared documents and/or creative works

Activities related to improving general undergraduate instruction (excludes committee work)

- Advising student clubs and groups
- Development of new learning experiences for students involving laboratories or computers (e.g.)

General advising of students on:

- Enrollment issues
- General career choices
- General academic issues
- Advise to undergraduates about graduate school options
- Graduation checks
- Personal counseling related to academic issues, etc

Definition of Research/Creative Activity: Activities associated with investigation or experimentation aimed at the discovery and/or interpretation of facts or ideas as well as the development of creative works or new products.

Creation of New knowledge through

- Experimentation
- Data analysis

- Library research

Creation of dramatic, literary or artistic works.

Creation of professional books, book chapters, or monographs.

Creation of new products (e.g., computer programs, cultivars).

Research or creative work directed at the generation of new knowledge or materials (e.g., paintings, poems, designs, etc.) for publication in professional journals, technical reports, other similar professional outlets (e.g., electronic media) or presentations at professional meetings.

Preparation of grant proposals for funding.

Management of grant activities.

Supervision of post-doctoral research associates.

Definition of Service (Citizenship): Citizenship activities that contribute to the operation of the institution or of a disciplinary or professional organization.

Initiating, working on, and/or providing support for the goals, missions, or aspirations of:

- University of Nebraska
- College / Division
- UNL
- Department / Center
- Academic Affairs / IANR

Activities related to serving or chairing committees on issues or directives of these units.

Activities associated with such departmental functions as interviewing prospective faculty members, assisting in the development of department policies, tenure review, and so forth.

Activities associated with shared governance, academic affairs, and other forms of institutional operation.

Time spent in leadership roles in professional organizations outside of the University.

Activities associated with Professional Groups, Leadership Positions, Journal Reviewer, etc.

(Does NOT include civic contributions such as election to office, jury duty, or volunteerism with religious, philanthropic and other nonprofit organizations.)

Definition of Extension/Outreach (Public Service): A form of scholarship that cuts across teaching, research and service. It involves generating, transmitting, applying and preserving knowledge for the direct benefit of external audiences in ways that are consistent with the university and unit missions.

Outreach activities contribute to public welfare or the common good, call upon faculty members' academic and/or professional expertise and directly address or respond to real-world problems, issues, interests or concerns. In short, the organized application of a faculty member's professional expertise to problems and tasks both on-campus and outside the campus.

Outreach includes dissemination of information to and other programming for the general public through written, oral, electronic, or other media. Activities make available institutional resources and expertise outside the context of the instructional program (extending the instructional program to a broader student clientele is included under teaching).

Definition of Administration: Activities associated with the day-to-day management of the institution, its units and programs.

This category would include all college and departmental/unit activities that are associated with the administration functions of the instructional, research, and service activities.

It includes the activities of the college deans, the administrative activities of department heads or chairpersons and the activities of their associated support staff.

It includes the executive level activities concerned with the overall management of and long-range planning for the institution.

It consists of the activities related to the day-to-day financial management and fiscal operations.

Activities that relate to the administration of personnel such as recruitment and hiring of faculty and staff and administration of employee programs.

Computer and data processing services that are needed to support the institution-wide administrative functions.

Activities needed to maintain relations with the local community, alumni, governmental entities and the public in general.

Activities related to maintaining the existing grounds and facilities, providing utility services, facilities and space management and health and safety services.