

## FACULTY WORKLOAD

### POLICY STATEMENT

The university Faculty Workload policy guides assignment of faculty effort through the creation of annual Statements of Expectation. The policy is intended to: 1) calibrate investment of faculty effort in alignment with the NAU mission and strategic goals; 2) create consistency and transparency in the assignment of faculty work; and 3) allow variation in practices at the unit level in consideration of differences in unit profile, curriculum, and pedagogy. The policy ensures that faculty effort is invested to support the mission and strategic goals of Northern Arizona University.

The Faculty Workload policy establishes guidelines for development of college or unit faculty workload policies and practices. COFS (1.4.5.1.f) requires all units to establish workload policy documents that “must be approved by the dean and the provost.” The intent of this policy is to ensure consistency in policies created at the college or unit level, while allowing flexibility in relation to context and disciplinary variations. As such, this policy does not stand on its own. It is a framework for explication of college or unit level policies that are fully specified to apply in design of faculty assignments.

### ENTITIES AFFECTED BY THIS POLICY

- All university academic units that employ full-time faculty or assign full-time faculty workload.

### WHO SHOULD KNOW THIS POLICY?

- All university faculty
- All university chairs/directors and deans
- The Office of the Provost

### DEFINITIONS

**Academic Unit-** For the purposes of this document the academic unit is the department/school/program or the college. Some colleges employ one workload policy for all academic units in the college, while in others, some or each department/school/program develop a unit-specific document. It is expected that all unit-level documents, where they exist will align with college-level documents where they exist.

**Faculty Status Committee (FSC) or Annual Review Committee (ARC)-** Unit level committee assigned to evaluate faculty annual performance (ARC) and evaluate faculty applying promotion and/or tenure (FSC).

**Faculty Workload-** A general term that describes the allocation of faculty time across the following categories: Teaching, Scholarship/Creative Activity, Service, or Other. Percent allocation in all areas shall add up to the total contract FTE: 1 FTE = 100% workload and .6 FTE = 60% workload, for example.

**Reassigned time-** A general term to describe a situation where percentages of workload may be reassigned by relevant administrators between workload categories, for example, usually from teaching to scholarly/creative activity or from teaching to service.

**Scholarly/Creative Activity-** A term used to describe the research, scholarship, and creative work conducted by faculty in all NAU disciplines.

**Service-** Workload activity directed to department, college, university, community or profession/discipline. This portion of faculty workload is conducted by faculty as representatives of the institution.

**Statement of Expectations (SOE)-** The annually developed and chair- or dean-approved document describing each full-time faculty member's workload for a given academic year (or fiscal year, for faculty on FY contracts). The SOE should be developed through a dialogue between a faculty member and their unit leader (chair, director or dean)

**Teaching-** Workload allocated to serving as primary instructor of record for a credit-bearing class, service on graduate student thesis or dissertation committees, and supervision of individualized instruction or research.

**Student related activities (Non-teaching):** valued activities that occur outside the classroom and are not part of a formal teaching assignment as an instructor of record.

**Team/Turn Teaching-** Workload allocated to shared teaching duties with another faculty member or a group of other faculty members.

**University-Supported Scholarly/Creative Activity-** Workload allocated for TT faculty that does not require externally funded reassignment.

## POLICY

### A. Scope and Applicability

It is the goal and practice of the NAU Division of Academic Affairs to provide consistent and equitable workloads for faculty members. This policy establishes general guidelines for unit-level faculty workload policies. This policy recognizes that workload is determined, in part, by the faculty roles differentiated, in part, by appointment. This policy is applicable to faculty appointed to professor, teaching professor, clinical professor and professor of practice tracks. The general guidelines below describe expectations for consistency in practices among all academic units.

Unit-level policies articulate distinct policies and practices in relation to assignment of faculty workload, for example, a) discipline-specific differences in pedagogy; b) specific expectations for scholarly and creative activity and outcomes aligned with unit mission and goals; or c) temporary/intermittent special service projects such as accreditation. Unit-level workload policies should align with the university Faculty Workload policy guidelines, with allowances for some variation as explicated.

In the absence of an approved unit level policy, workload assignments will follow guidance in this university Faculty Workload policy.

### B. Workload Assignment Authority

Unit-level policies may establish procedures to ensure equity and effectiveness in class assignment. Building the class schedule is the responsibility of the chair/director, who, while foregrounding student needs and success, will try to match faculty strength and interest with unit, college, and university needs. In alignment with COFS (2015), 1.1 Definitions, p. 4 and the SOE Policy, workload assignment is a negotiated outcome between the faculty member and the chair/director.

### C. Appeal Process

Unit-level workload documents may include a process to appeal an SOE that route appeals to the FSC or to the dean. Chairs/directors and deans will ensure that assigned workloads are applied with consistency and equity in mind.

## D. Evaluation of Faculty Work

Unit-level workload policies shall describe how teaching, scholarship/creative activity, service and other work are assigned and weighted for evaluation. Academic unit leaders are expected to inform faculty about workload policy and related criteria for evaluation of performance in a transparent manner.

NOTE: All full-time faculty members must have an SOE for each academic year. The SOE is developed based on unit-level workload policies. Annual performance reviews for faculty are based (focused and weighted) on the faculty member's SOE. (COFS 1.4.5.1) NOTE: Academic units must provide criteria for annual evaluation of performance in each area of assigned effort. (COFS 1.4.2)

## E. Workload Expectations

As a primary reference point for workload calculation, if teaching were the *only* area of effort in a full-time academic year assignment, overall effort for full-time faculty in all tracks and ranks for an academic year would be **equivalent to** teaching 30 credit hours or units per academic year. Generally, one unit equates to approximately 3 hours per week in a 16-week term. Faculty will have effort distributed across teaching, research/scholarship/creative activity, service, or the "other" category to add up to a 100% workload.

**Service.** All faculty members, regardless of track or rank, are expected to participate in some level of service effort at the unit, college or university level, which normally accounts for no more than 20% of the full-time academic year workload. Professional development activities are also expected and are included in the service category.

**Teaching.** All faculty members, regardless of track or rank, are expected to participate in some level of teaching. The base teaching load for career track faculty members (instructors, lecturers, teaching, clinical and practice professors) is not to exceed 24 credit hours per academic year during the fall and spring semesters (80% of the full-time academic year load). Teaching load reassignment below 24 credit hours shall follow the unit-level workload policy and must be approved by the chair and dean and documented in the SOE to include expected outcomes for the reassigned time. If there are instances for which an individual faculty member seeks an assignment entailing more than 24 units in place of other assignment(s), this must be approved by the dean.

The base teaching load for tenured and tenure-track faculty is not expected to exceed 18 credit hours per academic year (60% of the full-time academic year load) nor fall below 3 credit hours during the academic year. Teaching load assignments above or below this amount shall follow the unit-level workload policy and must be approved by the chair and documented in the SOE. Early career tenure track faculty may be assigned higher scholarly/research effort during the probationary period. If there are instances for which an individual faculty member seeks an assignment entailing fewer than 3 credit hours, this must be approved by the dean.

In cases where the instruction results in variable credit load (i.e., student teaching coordination, clinical coordination, internship supervision) a load document describing how the load will be assigned can be established by the unit to guide SOEs and workload. These documents must be approved by the dean and reviewed annually.

**Scholarship/Creative activity.** Research-active tenured and tenure-track faculty are normally allocated 20% of workload per academic year for university-supported scholarly/creative activity, with variation linked to career stage (e.g., initial tenure-track appointments) and mission/program profile of unit. While there are no institution-wide expectations for scholarship/creative activity for career track faculty, they may also be assigned workload up to 15% of total effort for university-supported scholarly/creative activity in accordance with unit mission, as long as the unit's needs for class delivery and service are met within constraints of unit resources (NOTE: The cumulative impact of such reassigned workload for career track faculty for university-supported scholarly/creative activity cannot result in assignment of more than 100% effort, per unit policy, nor subsequently result in a request for more staffing.)

Assignment for university-supported scholarly/creative activity must be approved by the chair and documented in the SOE to include expected outcomes for the assigned workload. Expected outcomes should correspond to criteria for annual performance review and be proportionate to the amount of workload provided.

Note: Full-time faculty are paid based on the FTE of their Notice of Appointment (NOA.) For 1.0 FTE the workload on the SOE must add up to 100%. Compensated overload assignments are to be paid through supplemental compensation during the contract period when they occur and are not considered as part of a faculty member's full-time workload assignment. "Workload credit" toward a future contract year's workload shall not be given. However, workload can be rebalanced between fall and spring semesters as needed, as long as the total per contract period amounts to 100%. Faculty may have effort assigned across categories each semester or over an academic year.

## F. Teaching

Teaching is at the core of the mission of the university. Teaching includes undergraduate instruction, graduate instruction, mentoring of thesis/dissertation preparation, supervision of individualized study, research linked to credit bearing enrollment, or supervision of preprofessional/clinical/performance-based learning.

Regular 3-credit course sections correspond to 10% of a full-time academic year workload (20% of a semester workload); Regular course sections with lower or higher units are allocated effort commensurate with the course credits. Specific criteria to adjust this general equivalence up to 15% and no lower than 5% of workload per class must be outlined in the academic unit's workload policy. Reduced or increased workload credit based on class section size shall be outlined in the unit's workload policy in alignment with course design/pedagogy and ability to meet student learning outcomes/objectives per the approved curriculum. Increases to assigned effort for a course above the general 10% may be considered as long as unit instructional capacity and course delivery are sustained within constraints of resources. All adjustments to workload must be guided by unit level policy and apply to a given course and to all faculty teaching the same class, taking into account other class specific factors. Reductions of effort for 3 credit courses below 10% must be specified in unit policy and agreed to through the process of developing the Statement of Expectations.

Other class specific factors relating to course design and pedagogy related to student learning outcomes or other requirements of instruction that should be considered in determining unit level policy for faculty workload include the following:

- Class meeting pattern
- Special preparation requirements
- Special travel time required to off-campus teaching locations (e.g., clinical, school districts)
- Pedagogy that applies and requires extensive feedback on student projects or one-on-one interactions.
- Special evaluation of student performance requirements
- Complex technological requirements
- TA/GTA support
- Technology support
- Minimum course enrollment guidelines established by the Office of the Provost

Unit-level workload policies will establish consistent standards for workload issues related to credit-bearing field work or other non-traditional class settings. For example, the number of student teachers supervised to equal teaching a three-credit class should be consistent for all faculty supervising student teachers. Other examples of credit-bearing, non-traditional classes that unit-level policies need to address include:

- Supervision of thesis or master's projects;
- Supervision of dissertations or clinical research projects
- Supervision and/or teaching of students in Undergraduate Research, Practicum, Individualized Instruction, Experiential Learning, Internships, Service-Learning Projects, Honors Courses (i.e., sections involving only honors students) and/or other Engaged Learning Activities.
- Membership on dissertation and master's theses committees

Team or turn teaching: The total credit for workload assignment among the entire team cannot exceed the total credits for the class. Exceptions may be granted and must be pre-approved by the dean and the provost.

Only teaching assignments where the faculty member is the primary instructor of the class (except in approved team or turn-teaching situations, where a faculty member is assigned as secondary instructor or where individual instructors are not structured into the schedule of classes for individualized courses) will be considered as part of teaching workload. Consultation, informal mentoring, and support of students is considered a component of the effort linked to specific teaching assignments.

Workload related to non-credit bearing “student related activities” will be assigned and articulated as “service”. For instance, faculty time working with student clubs or other co-curricular contributions should be documented in service. These activities are recognized as contributions to student learning but classified distinctly from teaching in Statements of Expectation for purposes of workload assignments.

Teaching a class during winter or summer session or as an agreed-upon overload is compensated separately for faculty on AY contracts and thus is not included in academic year workload expectations. Full-time faculty on FY contracts have onload teaching assignments during the summer that are articulated on the SOE. Faculty on AY contracts who take on non-teaching duties during the summer negotiate specific stipends with chairs/directors and deans.

Workload allocations that are negotiated as part of a phased retirement are based primarily on unit needs. University- supported scholarly/creative activity is not allocated during the phased retirement period unless reassignment funds are provided, and service expectations are minimized such that the unit needs (class coverage) can take priority. Phased retirement agreements must include SOEs for the years covered by the agreement and must be approved by the provost.

### **G. Scholarly/Creative Activity**

Scholarly/creative activities comprise an important part of faculty workload and serve as vital contributions to the mission of the academic unit and Northern Arizona University. Scholarly/creative activities enhance teaching, advance knowledge, contribute to public service, enrich educational and research opportunities, generate artistic, scientific, technological, and cultural contributions to society, and provide a training forum for undergraduate and graduate students.

Unit-level workload policies shall facilitate tenure/promotion success and encourage sustained scholarly activity among unit faculty. Each unit is responsible for providing a definition of what constitutes research, scholarship or creative activity and that include expectations that scale proportionally to the percentage of time allocated to this work. Unit-level guidelines shall clarify the level of productivity needed to achieve each merit ranking during annual review and separate guidelines for the level of productivity expected for promotion and tenure that is similarly proportional to allotted workload in this category.

### **H. Service**

Service activity shall support the mission of the university. It may include activities supporting co-curricular or other student learning/success activities, service to our community, participation in unit, college and university committees as an expectation and integral part of shared governance, and participation in professional organizations and state or national committees, representing a commitment to the profession as a whole.

In particular, service to the unit/university includes membership on standing committees or commissions, hiring committees and task force groups. However, service is not exclusive to committee work. Of equal importance are efforts to improve the operations, systems, faculty/staff and student performance on an innovative, regular and continual basis. Examples:

- Assessment and curriculum projects
- Accreditation efforts
- Diversity, equity and inclusion work
- Organized student success programs
- Academic or career advisement
- New program development

Community/professional service relating to and benefiting from a faculty member’s disciplinary or professional expertise includes volunteer activities both within the community and beyond (including state and national service) that are related to the mission of the unit and the university. Examples:

- Volunteering for non-profit or other community entities as a representative of NAU

- Supervision of student-led community focused projects
- Formal pro bono consulting related to disciplinary/professional expertise that provides the promise of a tangible benefit to the institution, e. g. joint grant submissions, paid use of a service center
- Service within top professional organizations
- Editorial position for an academic or professional journal
- Service on boards or significant contributions to other formal organizations related to expertise or unit/college community activities
- Mentoring student groups or clubs (non-credit bearing).

Unit-level workload policies will address what types of service are mission-related to the particular unit and how faculty members' effort will be allocated, commensurate with expectations of contribution. As a general guideline for specification of effort in service, 20% effort is approximately 8 hours per week; 10% effort is approximately 4 hours per week.

Criteria for evaluation of service work should be described in separate unit-level annual review and/or P&T documents. Faculty members are expected to provide appropriate documentation of their service activities, including level of involvement and accomplishments, in their self-evaluation for the annual performance review.

Regarding priorities of service activities, unit-level workload policies shall address which essential Service needs of the unit have priority over faculty members' other service activities. Examples include but are not limited to: Department FSC, College P&T Committee, academic program review, assessment of program learning outcomes, accreditation, and Faculty Senate representation. The unit leader has purview over prioritization of essential unit-level service tasks and is expected to distribute assignments equitably and consistently.

## I. Professional Development

The university values and encourages participation in faculty professional development, especially with a focus on improving teaching, enhancement of academic programs, and other areas of faculty responsibility. Effort devoted to professional development and learning related to contributions to teaching, scholarship and service should be recognized in workload policies and documented in Statements of Expectation

NOTE: Faculty members are expected to fulfill service for non-credit bearing "student related activities" through the entire semester and academic year regardless of configuration of their assigned teaching schedule. For example, a faculty member who teaches three classes in one particular eight-week session is still expected to fulfill all mentoring and service roles throughout the rest of the 16-week semester, as specified in the employment contract.

## J. Workload Reassignment

a) Reassignment of workload from base teaching allocation (60% for TT and 80% for Career Track) to scholarship/creative activity:

- Faculty members involved in funded activity (i.e., research or service grants) may buy out reassigned teaching workload by acquiring funding (*paid by the direct costs of the grant*) equal to the percentage of reassigned time requested. Thus, funding of 10% of the faculty salary and ERE is required to be reassigned from one three-credit class per year.
- Faculty members may be involved in mission-related research activity where the "course replacement cost" or backfill for part-time instruction is provided (by the grant or other source).
- Re-assigned time for additional university- supported scholarly/creative activity (above base workload for the role) that is not supported by direct buy-out or some other form of class cost replacement is possible. Unit-level workload policies shall establish eligibility criteria and ranges of non-externally supported scholarly/creative assignments. Unit-level policies shall align with university, college and unit goals in consideration of educational programming, resources, and instructional capacity necessary to serve students. Chair and dean approval is required for additional (above base workload for the role) university- supported scholarship/creative workload

assignments and must be revisited annually and adjusted based on performance. Colleges or local units may support additional (above base workload for the role) university supported scholarly/creative activity through use of salary indirect cost recovery, other local funds or salary savings.

NOTE: Deans are expected to present to the provost for discussion and agreement in relation to university, college, and unit goals, protocols for assignment of additional (above the base workload for the role) university- supported scholarly/creative activity among tenure eligible faculty for pre and post tenure career phases. Consideration will be given to unit program portfolio (e.g., PhD programs) and research profile in relation to university areas of excellence or emerging excellence. Full-time faculty members (except for those on the Research Professor track) are generally expected to teach at minimum one regular class section per year. Exceptions may be granted with 100% buyout.

b) Reassignment of workload from base teaching allocation (60% for TT and 80% for Career Track) to service:

- Review and reallocation of the service component of a faculty member's SOE shall occur prior to any consideration of reassignment of time that negatively impacts instructional capacity. Only in cases where the service load is completely dedicated to a unit's needs and cannot be replaced should reassigned time be considered.
- Faculty members may be reassigned to administrative or other mission-related activities with the recommendation of the chair and approval of the dean. For example, when circumstances warrant this, a faculty member may receive workload credit for coordinating a program, curriculum development, special projects, or any other activity not conducted as primary instructor for a credit-bearing class. In such cases, the expectations and evaluation criteria must be articulated in the Statement of Expectations (in the "Other" section unless the activity is better articulated in Service). As noted above, the resulting class capacity reduction shall be covered by the unit, and student access to required courses shall not be decreased. The cumulative impact of such reassignments cannot subsequently result in a request for more staffing.
- External professional employment that is compensated cannot also be counted as part of NAU faculty workload or result in workload reassignment or specific requests for teaching assignments even when related to a faculty member's disciplinary expertise. Additionally, external employment must be documented via the eCERT Program, and conflict of interest management plans must be developed and submitted, if applicable. When approved in advance, included in the documented eCERT, and when aligned with unit annual review and P&T criteria, products of externally compensated work may be included in the review process.

#### **K. Documentation and Approval; Revisions of Unit-level Policies**

Unit-level workload policies shall use the template provided in the Appendix to ensure consistency and transparency.

In collaboration with department and school level leaders and faculty, college deans will determine whether a college wide or department or school level policies (or some combination thereof) are fitting with the needs of programs within a college. College or unit policies shall be developed through collaboration with unit level leaders and participation of faculty. Deans will present plans for workload policy development to the Office of the Provost, which are to include documentation of the process through which the policy or policies were developed and adopted that demonstrate faculty engagement, collaboration, and approval. If there are disagreements about workload policy development that cannot be resolved by the college dean, the Office of the Provost will mediate and attempt to reach a resolution or, when necessary, will render a decision.

With dean approval, college and/or unit level policies are conveyed to the Office of the Provost for review and approval. Last approved workload policy applicable to a college or academic unit will remain in effect until a new policy is approved.

Unit-level workload policies shall be reviewed and revised (e.g. when there are significant changes to unit organization, mission, programs and/or courses) by the members of the academic unit and then presented for re-approval to the dean and provost, as needed, or at a minimum every five years.

Unit-level workload policy approval and re-approval dates at the different levels (chair/director, dean, provost) shall be recorded on the policy document, in the place reserved for this purpose on the template.

## RESPONSIBILITIES

**Faculty:** Full-time faculty in academic units develop draft unit-level workload policies in collaboration with unit administrators (chairs/directors or deans in non-departmentalized colleges).

**Chair/Director:** Chairs/directors work in collaboration with full-time faculty in their unit to develop draft workload policies. Chairs may delegate the initial drafting and review of unit-level faculty workload policies to the unit's FSC, ad hoc committee or using some other process that creates opportunity for the engagement of the unit's faculty, that ensures faculty participation, and their support of the new policy. Chairs/directors present unit-level draft workload policies, along with documentation of the process through which the draft was created to the dean for review.

**Dean:** Deans review draft unit-level workload policies in collaboration with unit administrators (chairs/directors) and present the draft college and/or local unit-level workload policies to the provost for final approval.

**Provost:** The provost or designee reviews draft unit-level workload policies presented by deans and renders final approval, upon which the unit-level workload policies become effective. The provost may charge a faculty workload advisory group to assess and/or revise university workload policy or conduct the reviews of draft unit-level workload policies.

## PROCEDURES

This university policy will be assessed through a collaborative process between the Office of the Provost and Faculty Senate three years after implementation. Assessment will be based on input from and engagement with academic leaders at different levels and faculty, as well as consideration of how the policy is advancing the strategic priorities of the university. This assessment does not replace the expectations for review of unit level policies specified in Section J.

## RELATED INFORMATION

Forms or Tools:

- Template for unit-level faculty workload policy, provided in the Appendix.

Cross-References:

- COFS
- CERT
- ABOR Phased Retirement Program
- Supplemental Compensation Policy
- Provost's Guidelines for Statement of Expectations

Sources:

- ABOR COFS (6-201)

## APPENDIX

Template for unit-level workload policy will be provided so that policy documents are rendered into a common format that ensures local policies provide specification for variable policy components. (Template to be developed.)