

Provost/AA Guidelines for Assignment of Professional Responsibilities

Article 17 starts with a preamble, summarized here:

- Given the diverse nature of work performed by faculty, varying types of appointments, and needs of the university, the weighting of assignments and particulars of assignments will vary between and within units.
- Each faculty member is obligated to devote his or her best efforts to the university, particularly to students; to perform all duties with professionalism and diligence and in accordance with standards appropriate to AAU institutions.
- Each faculty member is obligated to act ethically and in compliance with the accepted professional standards; to account for all money or property received; to use money and property only for lawful purposes and in accordance with policy.
- Each faculty member is obligated to treat confidential information as confidential; to cooperate with the university with regard to investigations, audits and legal proceedings; and to represent the university with professionalism.

Process

- Faculty in the Tenure-Track and Tenured Professor classification and Career NTTF consider input by appropriate department or unit head, dean, VP, Provost or designee.
- **Initial guiding principles from the Provost and Academic Affairs are included in the following pages. Additional principles may be provided before faculty begin developing policy.**
- In accordance with the department or unit's internal governance policy, faculty will then develop a written policy for the assignment of professional responsibilities and stipends or academic support resources.
- Faculty will submit their recommended policy for review to the appropriate dean, vice president, or designee, who will provide a written explanation to the faculty and an opportunity to discuss any alterations he or she makes to the recommended policy before submission to Provost or designee.
- Provost or designee will have final authority to establish policy for each department or unit. If the Provost or designee materially alters the faculty-recommended policy, he or she will provide a written explanation for the change(s) to the faculty in the department or unit.
- Department or unit head, dean, VP, Provost or designee may initiate changes to established policies by informing the appropriate faculty of the change being considered, thereby initiating this process.

Policies

Article 17 states the following:

- The workload policy shall define 1.0 FTE workload for all academic instructional classifications and ranks employed by the department or program.
 - The workload policy shall address how each of the following items contribute to the overall FTE for instructional faculty:
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- (a) Course load
 - (b) Service expectations
 - (c) Research, scholarship and creative activity
 - (d) Professional development related to teaching, research and service
 - (e) Undergraduate and graduate advising
 - (f) Student contact and communication
- Workload policies should describe a process for accounting for individual faculty needs when assigning workload. Factors to consider include, but are not limited to:
 - (a) New course preparations
 - (b) Balance of workload components based on faculty review, promotion and tenure, professional development expectations, and agenda for research, scholarship and creative activity
 - (c) Administrative duties
 - (d) Timing of activities (e.g. publication and grant deadlines, course load in given terms, and promotion review dates)
 - (e) Job description
 - Assignment of professional responsibilities may consist of some combination of instructional activities (including class preparation, classroom teaching, evaluation of student work, advising and mentoring, and various forms of communication with students); research, scholarship, and creative activity; and service within the department, school, college or institute, and the university, and to external organizations, and communities.
 - For non-instructional classifications or where tenure-related or non-tenure track faculty are not primarily instructional, specific job descriptions should be developed to address the particular workload of the faculty member.
 - An individual's particular professional responsibilities shall be assigned in accordance with the departmental or unit policy. Assignments shall reflect:
 - (a) The instruction, research and service needs of the university and its departments, institutes, centers and other academic units;
 - (b) The faculty member's qualifications and expertise and potential to acquire the appropriate expertise;
 - (c) The faculty member's evolving professional interests;
 - (d) Generally accepted practices in the field;
 - (e) A realistic balance of duties consistent with the criteria for review.
 - The Provost or designee shall be responsible for the scheduling and assignment of all faculty members' professional responsibilities. A faculty member shall be afforded the opportunity to meet with his or her dean, director or designee at least annually, before responsibilities are assigned, to discuss the faculty member's preferences regarding assignments for teaching, research, service and other professional responsibilities, and the faculty's anticipated resource needs.
 - The Provost or designee may modify scheduled assignments, provided that the department or unit head discusses changes with the faculty member before they are made and that changes are not made for arbitrary or capricious reasons.
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- Faculty members may request to adjust schedules or assignments.
- Each bargaining unit faculty member must be fully engaged in teaching, research, and service work for the university to the extent of his or her appointment, and must be engaged in work or reasonably available for work for the entirety of the term for which the bargaining unit member is employed unless on approved leave.
- An overload assignment is (1) an assignment that is in addition to the bargaining unit member's regular assignment and FTE status; (2) a one time or limited assignment, made or approved by the Provost or designee, that is in addition to or different from regular or usual assignments for the member's classification and rank; or (3) assignments unrelated to the bargaining unit member's primary job responsibilities.
- Overload appointments will be assigned an FTE percentage commensurate with normal workload duties and compensated accordingly. Faculty may request that overload compensation take the form of class release. No bargaining unit faculty member may be disciplined or terminated for refusing an overload assignment.
- Appointments for which compensation is paid, in whole or in part, with federal funds may be ineligible for overload compensation

Provost and Academic Affairs Guiding Principles

- Overall teaching loads must meet the full curricular and enrollment needs of the department or unit, school or college, and university.
- There must be a shared understanding among administrators and faculty of the components of workload and, ideally, agreement on a common workload measure that allows comparison of workloads across organizational units and different kinds of work.
- Each faculty member's assignment should be clear as to the proportion of FTE expected to be allocated to teaching, scholarship, creative activities, research, administrative duties and service.
- The expectations in each category should be specific and clear. That is, not just the percentage expected for each category, but also the way in which "types" within categories count. For example, it should be clear how different kinds of service contributions are viewed. This will entail describing service to the university, department, students, discipline, and community, and the varying levels of commitment of each. The same is true for other categories as well. For example, there may be particular productivity expectations within a particular field, productivity at different career stages, and marketplace considerations.
- Student advising and supervision need to be carefully detailed. Do some categories fall into "service," while others fall into "teaching?"
- There must be clear criteria about how "courses" count toward FTE. For example, are large courses treated the same as small? Is graduate level the same as undergraduate? Upper division the same as

lower division? Does it matter if a faculty member has multiple new preps? How should classes with special features like studio, field or lab components be counted? How does the supervision of internships fit in? How will re-assignment occur if a course is cancelled due to low enrollment?

- There must be clear criteria guiding decisions on course release, overload, and stipends. Among other considerations, these criteria should address typical service/administrative duties, and those that are extraordinary.
- There must be clear criteria and guidelines concerning the “banking” of course releases.
- There must be clear guidelines on grant buy-outs for courses.