CBA Implementation Workshop: Designing Assignment of Professional Responsibility Policy and Summer Session Policy

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CBA GOVERNANCE IMPLEMENTATION GUIDE

ASSIGNMENT OF PROFESSIONAL RESPONSIBILITIES, ARTICLE 17

(Introduction to the Article and preliminary guiding principles, May 2014)

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 here on pages four and five. 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:
  (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.

• 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.
ARTICLE 17. ASSIGNMENT OF PROFESSIONAL RESPONSIBILITIES

Preamble.

The University and the Union recognize that, given the diverse nature of the work performed by bargaining unit faculty members, the varying types of appointments, and the needs of the university, the weighting of assignments and the particulars of individual assignments will vary both between and within units. The University and the Union also recognize that each bargaining unit faculty member has the obligation to devote his or her best efforts to the university, and particularly to students; to perform all duties with professionalism and diligence and in accordance with the standards appropriate in AAU institutions; 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; 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.

Section 1. 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.

Section 2. The faculty in each department or unit will begin the process of developing a written policy for the assignment of professional responsibilities and stipends or academic support resources, by first considering any input provided by the department or unit head, dean, vice president, Provost, or designee. The faculty will submit their recommended policy to the appropriate dean, vice president, or designee for review. The dean, vice president, or designee will document and discuss any revisions he or she makes to the policy with the faculty before submitting his or her recommended policy to the Provost or designee. The Provost or designee will have final authority to establish the 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. The department or unit head, dean, vice president, Provost, or designee may initiate changes to established policies by informing the appropriate faculty of the change being considered, thereby initiating the process described in this Section.

Section 3. The workload policy shall define a 1.0 FTE workload for all academic instructional classifications and ranks employed by the department or program, and shall address how each of the following items contribute to the overall FTE. For noninstructional 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 bargaining unit faculty member. Instructional faculty
workloads will, in general, address the following:

(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

Section 4. Workload policies should also 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

Section 5. 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 bargaining unit member’s qualifications and expertise and potential to acquire the appropriate expertise;  
(c) The bargaining unit member’s evolving professional interests;  
(d) Generally accepted practices in the field; and  
(e) A realistic balance of duties consistent with the criteria for review.

Section 6. The Provost or designee shall be responsible for the scheduling and assignment of all bargaining unit faculty members’ professional responsibilities. A bargaining unit 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 bargaining unit faculty member’s preferences regarding assignments for teaching, research, service and other professional responsibilities as set forth in this Article, and the member’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. Faculty members may request to adjust schedules or assignments.
Section 7. 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.

Section 8. An overload assignment is (1) an assignment that is in addition to the bargaining unit faculty 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.

Section 9. 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.

Section 10. Appointments for which compensation is paid, in whole or in part, with federal funds may be ineligible for overload compensation.
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.

- **Guiding principles from the Provost and Academic Affairs can be found on page 10 of this document. Additional principles will be provided prior to fall term 2014. In particular, there will be clarification on the way in which Academic Extension courses offered during summer term fit into these policies and on how summer pay is structured.**

- In accordance with the department or unit’s internal governance policy, faculty will then develop a written policy and procedures for the appointment of faculty, professional responsibilities, course cancelation of, and compensation for Summer Session work.

- Faculty will submit 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.

**Special process for Summer Session, included in Article 18:**

- The appropriate department or unit head will determine the Summer Session teaching schedule, if any, in consultation with the faculty, and in consideration of faculty expertise; student demand; program and curricular needs of the academic unit; available resources; school, college, and university needs; and in accordance with approved procedures and criteria.
Policies

Article 18 requires the following:

- Summer appointments for those on academic year appointments are in addition to the academic year contract. Summer session appointments may include Coordinator of Summer Session or other similar appointments.

- An offer of a Summer Session appointment will be made at least five weeks prior to the beginning of the appointment, whenever feasible. A bargaining unit faculty member on an academic year appointment is not required to accept a Summer Session appointment, and will not be subject to discrimination and/or retaliation for declining a Summer Session appointment.

- The department or unit head may cancel a scheduled class or reassign a bargaining unit faculty member based on faculty expertise; student demand; unit, school, college, or university needs; and in accordance with approved policies. In the event that a course is cancelled, the department or unit will attempt to appoint the bargaining unit faculty member to a new assignment.

Provost and Academic Affairs Guiding Principles

- Summer session criteria must clearly consider faculty expertise; student demand; program and curricular needs of the academic unit; available resources; and school, college, and university needs.

- Summer session criteria and procedures must be clear and transparent in describing how summer appointments are decided, when they are communicated, how they are compensated, and under which conditions they can be withdrawn.
ARTICLE 18. SUMMER SESSION APPOINTMENTS AND ASSIGNMENTS

Section 1. The faculty in each department or unit will begin the process of developing written policies and procedures for the appointment, professional responsibilities, course cancelation and compensation of Summer Session work, by first considering any input provided by the department or unit head, dean, vice president, Provost or designee. The faculty will submit their policies and procedures to the appropriate dean, vice president, or designee for review. The dean, vice president, or designee will discuss any revisions he or she makes to the policies or procedures with the faculty before submitting his or her recommended policies and procedures to the Provost or designee. The Provost or designee will have final authority to establish the policies and procedures for each unit. If the dean, vice president, or Provost or designee materially alters the faculty recommended policies or procedures, he or she will provide a written explanation for the change(s) to the faculty in the department or unit. The department head, dean, unit head, vice president, Provost, or designee may initiate changes to established policies by informing the appropriate faculty of the change being considered, thereby initiating the procedure described in this section.

The appropriate department or unit head will determine the Summer Session teaching schedule, if any, in consultation with the faculty, and in consideration of faculty expertise; student demand; program and curricular needs of the academic unit; available resources; and school, college, and university needs; and in accordance with approved procedures and criteria.

Section 2. Summer appointments for those on academic year appointments are in addition to the academic year contract. Summer Session appointments may include Coordinator of Summer Session or other similar appointments.

An offer of a Summer Session appointment will be made at least five weeks prior to the beginning of the appointment, whenever feasible. A bargaining unit faculty member on an academic year appointment is not required to accept a Summer Session appointment, and will not be subject to discrimination and/or retaliation for declining a Summer Session appointment.

Section 3. The department or unit head may cancel a scheduled class or reassign a bargaining unit faculty member based on faculty expertise; student demand; unit, school, college, or university needs; and in accordance with approved policies. In the event that a course is cancelled, the department or unit will attempt to appoint the bargaining unit faculty member to a new assignment.