

FACULTY WORKLOAD POLICY STATEMENT

Responsible administrator: Associate Dean for Faculty Affairs and Strategic Initiatives

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I. Introduction

Auburn University is the State of Alabama's oldest land grant institution, and its three-fold mission of instruction, outreach, and research is unique among the public colleges and universities in Alabama. The faculty is responsible for the discovery, creation, and transmission of knowledge and skills across the generations as well as the advancement of culture in our society. The University serves students and scholars from across the state as well as from beyond its borders. Across a wide variety of areas and disciplines, the University provides an environment in which new ideas are fostered. Its faculty members disseminate that knowledge to students in baccalaureate through graduate and professional degree programs, and in continuing education to the citizens of the State.

Because the University is a comprehensive teaching and research institution, the academic units, faculties, programs, and students are heterogeneous. The students served by its programs, the qualifications and responsibilities of faculty members who provide instruction, and the many benefits to the state are not easily categorized.

To provide the breadth of academic programs required of the University, the faculty performs a complex combination of duties. In this document these collective duties are termed workload. Workload may be defined as all faculty activities that contribute to the accomplishment of unit-related activities and responsibilities: teaching, outreach, research and creative activity, interacting with students, clinical care, institutional and professional service, service to the community, and professional development. The essential character of workload is established for all the diverse types of faculty appointments in the guidelines for re-appointment, promotion, and tenure within the University and in the distribution of effort agreement that directs each faculty member's working schedule. Workload management requires the realistic assignment of a faculty member's time and University resources.

Faculty members are independent professionals without prescribed working hours. For some, the work period fits a conventional workday, five days a week. For most, the workday is more flexible, and ultimately more time consuming. Typically, heavy time commitments--to teaching, grading, and research--fill days, late nights, and weekends during each term. In the summer months, many faculty members commit to rigorous academic preparation or research and outreach schedules. Because of the flexible, interactive, and complex nature of academic work, and because many faculty members are able to set their own schedules within a class-time framework, time spent in any one of the three areas of teaching, outreach, and research varies from day to day and may change markedly from term to term.

Many studies indicate that most University faculty members work an average of fifty-five hours per week. [See, for example, Harold E. Yuker, Faculty Workload: Research, Theory, and Interpretation, ASHE-ERIC Higher Education Report No. 10. (Washington, DC: Association for the Study of Higher Education, 1981).] The work week includes activities in a multitude of

environments such as libraries, laboratories, and formal and informal settings around the University and elsewhere. Such activities include teaching and advising, constructing and scoring examinations, reading and grading papers, mentoring graduate students, directing graduate thesis and dissertation research, administrative duties, governance work, outreach work, research and creative work, keeping abreast of developments in one's professional field, and providing professional services. The faculty work year ranges from nine to twelve months. Many faculty members are not compensated for some months each year, yet they spend these months preparing new courses, in professional development, and preparing research or creative projects for publication, exhibition, or performance.

Faculty workload includes formal classroom instruction, from undergraduate through postdoctoral levels, which may be measured by term credit hours; laboratory, studio, and clinical contact hours; and informal non-classroom teaching. Workload includes research, or those activities that have as their goal a specific scholarly production, whether it is non-sponsored, individual research, or organized research supported by appropriation or extramural funding. Workload also includes external service activities performed by faculty members on behalf of their profession and the general public, and internal service, or work on behalf of colleagues, students, and University units. While teaching, outreach, and research may be regarded as separate activities, in practice, these three workload components are rarely distinct. Administrative flexibility is required to assign and assess research, outreach, and teaching. Therefore, workload assignments should be determined by unit administrators who understand the abilities and interests of their individual faculty members as well as the balance of activities necessary to maintain an effective academic unit.

The standard for teaching-only working assignments for regular-title appointment faculty members is 15 credit hours per term. The workload standard for outreach- or research-only assignments would be equivalent in time and effort to the teaching-only assignment. Most University faculty members will not have such singular focus assignments, but will divide their time among outreach, teaching, research, and service responsibilities. Specific guidelines for determining workloads should be developed at the unit level and should recognize the variability of teaching assignments, such as class size and level, research involvement, and outreach responsibilities. Guidelines for determining workloads are in Attachment A.

II. Principles for Implementing Faculty Workload Policies at Auburn University

- A. Each unit is responsible to its dean or appropriate administrator for contributing to three mission areas: teaching, outreach, and research. The heads/chairs or unit administrator's best know and understand unit needs and the abilities and interests of their faculty members. Appropriate workload management by unit administrators seeks to best serve student interests and meet departmental responsibilities by maximizing the application of faculty expertise through a Differentiated Distribution of Effort, or DDE. The rationale for a DDE stems from the recognition that the University's three-part mission is an aggregated institutional mission, not necessarily the mission of each individual faculty member. Therefore, to implement a DDE, workload should be conceived of as variable individual efforts which, when aggregated at the unit level, allow that unit to meet its academic responsibilities and contribute to the overall University mission. To enhance the ability of a particular unit to meet its academic responsibilities, individuals may be assigned asymmetrical workload distributions that emphasize one or two mission areas, rather than all three. The DDE will permit the department heads/chairs

or unit administrators, with approval by the dean or the appropriate administrative officer, to assure fairness in the distribution of responsibility among faculty members. The merit evaluation system should reflect the reality of workload distributions and the amount of effort that constitutes a full load equivalent. Because of promotion and tenure requirements, a DDE heavily weighted toward one area would normally be inappropriate for tenure-track faculty members. Unit administrators should be allowed latitude in making individual workload assignments, and care should be taken that all of a faculty member's contributions to the institution be considered.

- B. Policies and practices shall assure that full-time, regular-title series faculty members have comparable total effort. Individual distributions of teaching, outreach, and research may vary, but should not result in reduced effort for some individuals within a unit. By their nature, other title-series faculty appointments carry more definite workload specifications.
- C. The workload for an individual faculty member would be equivalent to:
 - 1. a teaching-only assignment in which the person would teach some combination of classes and engage in associated teaching-related activities that, given the qualifications in Attachment A, Section II.A., would be equal to 15 credit hours per term. At Auburn University, the standard teaching-only workload is 15 credit hours per term, or the equivalent in other teaching, outreach, and research responsibilities.
 - 2. a research-only assignment equivalent to teaching 15 credit hours per term in which the person would direct research activities, supervise research team members, administer grants and contracts, prepare grant proposals, and/or engage in other research activities as described in Attachment A, Section III.D., sufficient to maintain a vigorous research program comparable to successful full-time researchers in the same or comparable fields at the best of our benchmark institutions.
 - 3. an outreach-only assignment in which the person would engage in outreach activities, such as those described in Attachment A, Section III.E., for the equivalent of teaching 15 credit hours per term.

In practice, few faculty members with regular-title appointments would have such a singular focus but would combine teaching, research, outreach, and service responsibilities, such that their aggregate workload would be equivalent to any one of these assignments.

Since Auburn University is one of the state's primary research institutions, and faculty members are expected to establish research programs, an individual whose research has produced an internationally recognized body of work and has obtained external funding support may be assigned to teach one or two courses per term. Their remaining academic effort would be allotted to research, and/or outreach and service. This effort would constitute a full academic workload, and the definition of full load and contact hour will vary across departments. The head/chair might assign another faculty member, whose research program, outreach and service responsibilities are limited, to

teach three or four courses. Such an assignment would be reevaluated on a regular basis, in conjunction with a regular faculty review period.

These are examples, and many other DDE combinations are possible. The merit evaluation system should reflect the reality of workload distributions and the amount of effort that constitutes a full load equivalent

- D. Considerations for adjusting workload distributions for an individual should relate to:
 - 1. difficulty, scope, size, and level of courses taught (e.g., number of preparations, development of new courses or revisions of existing courses, type of instruction, class size, use of teaching assistants, advisement and mentoring activities);
 - 2. responsibilities for research, outreach, or service.
- E. Research, outreach, and non-classroom teaching are more difficult to quantify than formal classroom teaching but are, nevertheless, assessed according to unit policy. Policies and practices shall assure that full-time faculty members have comparable total effort, although individual distributions of teaching, outreach, and research may vary.

III. Expectations and Outcomes

In support of this workload policy, the University will operate in consideration of the following:

- A. Expectations
 - 1. Faculty members in each unit should participate with unit administrators in determining guidelines and procedures for assigning workloads;
 - 2. Each unit should assure that all faculty members within the unit have comparable workloads;
 - 3. Reappraisals of workload policy within units should occur at regular intervals to respond to university and college missions and to adjust to changes in size, structure, and curricular demands; and,
 - 4. Those policies and practices should be communicated to all faculty members each year.
- B. Outcomes
 - 1. On behalf of the State of Alabama, Auburn University faculty members aspire to accomplish a three-part mission: to create knowledge through research; to preserve and disseminate knowledge through education; and to serve the public through outreach expertise. This workload statement seeks to achieve these ideals through the realistic management of faculty time and University resources.

2. The University faculty places high value upon the process and product of scholarship, and seeks to make University students and Alabama residents the chief beneficiaries of that scholarship. Teaching must be informed by research; to do otherwise would be to offer outdated ideas and solutions to tomorrow's problems. Extramural funding for scholarly and creative work enhances resources provided within the state and, in addition to supporting research, benefit teaching and outreach productivity.
3. University teaching and research programs will provide students studying at the University at all levels--undergraduate through postdoctoral--with the best experience that faculty and resources can provide. Thus, a university education will foster a cadre of graduates who will be informed and skilled citizens, providing leadership for the state's business, industry, professions, and government.
4. University programs will also contribute to the life of the community by helping individuals to define and pursue personal goals which enrich their own lives and which ultimately contribute to the well-being of Alabama's citizens.
5. Given these commitments on the part of University faculty members, this workload statement seeks to assure the faculty, in turn, that their assignments will be equitable, and recognition and reward will be based upon the quality of their accomplishments.

Attachment A

Differentiated Distribution of Effort Guidelines for Establishing Workload Equivalency

I. General Terminology

A. Contact Hour

A standard one-hour classroom period. Contact Hours, per se, will appear only in the Classroom Instruction activity category.

B. Contact Hour Equivalencies

All activities other than Classroom Instruction will be measured in the activities report by converting them to their equivalencies in terms of contact hours. The method of conversion will vary with the specific activity category, and will be described therein. (Some classroom instruction may be eligible for Contact Hour Equivalencies in addition to Contact Hours. See II.A. below).

C. Faculty

Used throughout the body of this document to include faculty, faculty adjuncts, graduate assistants, and house staff (residents in health center/medical programs) where appropriate.

D. Faculty Member's Designated Effort

In each activity category, 1.0 faculty member will have a percentage of that full time equivalent (FTE), 0% to 100%, allocated to the activity being described. This number is the faculty member's Designated Effort in the category.

E. Faculty Member's Total Effort

The sum of the faculty member's Designated Efforts from all activity categories. For 1.0 FTE faculty, this should not vary from 100%.

II. Instruction

A. Classroom Instruction

Definition: The scholarship of teaching has the highest faculty priority. Teaching is broadly defined to include formal classroom instruction, which may be measured by term Credit Hours, but also includes laboratory, studio, and clinical contact hours. Courses may consist of lectures, discussion and quiz sections, laboratory exercises, field studies, industrial and clinical practice, and seminars. Formal classroom teaching includes conception, design, and preparation; research; performance; individual tutoring and mentoring; and evaluation of student accomplishment. Courses may be offered through distance education as well as in on-campus classrooms.

Teaching extends beyond the formal classroom setting. Since some of the most valuable teaching frequently occurs in one-on-one sessions outside the classroom, every contact between students and faculty members is a teaching opportunity. In these settings, formal credit hours do not measure the actual contact hours faculty members spend with students, yet such instruction often accounts for a major portion of the work week for the faculty members involved. Much undergraduate laboratory, studio, and field work is informal. At the graduate level most education combines informal and formal classroom teaching. Beyond-the-classroom education has many aspects of an apprenticeship. For example, students in the health care professions learn from faculty as they treat patients. For these students, such experience may be the single most important component of the educational process.

Teaching also includes advising, whether it is advising lower division class members, upper division majors, graduate students working on thesis or dissertation research, supervision of internships, or guidance given students enrolled in professional programs. Teaching and advising may merge in many programs to become one process. Therefore, the teaching portion of the overall workload will vary among individuals, from program to program, and from term to term, depending upon the teaching duties of each person. Faculty members may teach fewer courses when actual contact hours substantially exceed formal credit hours, as they usually do in laboratory, studio, clinical, and field work assignments.

Professional development is also of primary importance since, to be effective teachers, it is mandatory that faculty members know and understand the intellectual and practical status of each subject they teach, and follow disciplinary advancements through the professional literature and other appropriate creative forums. This workload component cannot be measured by the number of courses or credit hours taught. Nevertheless, it is at the heart of all University academic programs.

Contact Hours are the actual number of hours the section meets per week. For sections that are taught by more than one faculty member, the Contact Hours are multiplied by the portion of the section workload assigned to each faculty member to determine the members' contact hour shares.

Contact Hour Equivalencies in addition to regular Contact Hours may be assigned to

classroom instruction activities which involve unusual and significant requirements for preparation, conduct of classes, evaluation of student progress, etc. Additional Contact Hour Equivalencies may be assigned to the course section and should be used primarily when an assignment requires the teaching of large sections or small group active learning courses but usually will not exceed the assigned contact hours for the course. Justification for such assigned Contact Hour Equivalencies will be documented on the Faculty Workload Assignment form (FWA). These equivalencies are course specific.

Designated Effort for this activity is determined by multiplying the sum of Contact Hour Equivalence by 0.0222 for twelve-month appointments, then converted to percent.

B. Thesis/Dissertation Supervision

Definition: Participation in thesis/dissertation supervision assignments for the individual faculty member shall be stated in general terms based on anticipated involvement for the academic year..

Designated Effort for this activity is determined by multiplying the sum of Contact Hour Equivalence by 0.0222 for twelve-month appointments, then converted to percent.

C. Directed Individual Studies

Definition: Instructional activity in which a student studies a specifically assigned topic on his or her own and meets regularly with the faculty member to review progress and evaluate achievements.

Contact Hour Equivalencies are assigned at a maximum of 0.5 Contact Hour for each student enrolled for credit.

Designated Effort for this activity is determined by multiplying the sum of Contact Hour Equivalence by 0.0222 for twelve-month appointments, then converted to percent.

D. Supervised Teaching/Research

Definition: The supervision of teaching and/or research of graduate students (other than Thesis/Dissertation Research or Directed Individual Study). Such students must be registered for credit for the teaching or research activity being supervised.

Contact Hour Equivalencies are assigned at a maximum of 0.5 Contact Hours for each student.

Designated Effort for this activity is determined by multiplying the sum of Contact Hour Equivalence by 0.0222 for twelve-month appointments, then converted to percent.

E. Other Instructional Effort

Definition: Performance of instructional-related activities which have been approved by the provost, dean or head/chair and which are not included in other categories. This

may include the development of new approaches, improvement of materials for credit courses, participation in the planning, development and/or evaluation of total curricula, including planning authorization requests and implementation proposals for new degree programs. Generally this activity exceeds what ordinarily is expected in course maintenance.

Contact Hour Equivalencies for this activity are determined by dividing 0.0666 into the Designated Effort (expressed as a decimal) and then multiplying by number of terms.

III. Research

Definition: Because Auburn University is one of our state's primary research institutions, faculty members are expected to actively engage in the scholarship of research (discovery, integration and application) on a par with those at the best benchmark institutions. Research may be non-sponsored, individual research, or organized research supported by extramural funding. Scholarship of research may also include that which has a specific deliverable. Examples of scholarship may include the historian spending long hours in the University library and in bibliographic collections across the globe in order to interpret our heritage. The engineer may form an academic-industry team to enhance robot design and thereby improve work place productivity. The musician, artist, poet, and architect create sounds, visions, words, and structures that will uplift community spirit. Scholarship of research leads to a collective advancement of knowledge which may have applied, theoretical, or aesthetic attributes, and it has a central role in enhancing teaching. An effective research program also underwrites professional development.

Scholarship of research and development is ordinarily managed within academic departments. Such activities usually have stated goals or purposes and projected outcomes, and may be created for specific periods as a result of a contract, grant, or specific allocation of institutional or system resources. Research activity of Alabama Agriculture Experimental Station (AAES) is included in this category. A component of Research and Development is the eventual dissemination of research results. Research assignments for the individual faculty member shall be stated in general terms. At the end of the term, a record shall show specific activities toward fulfilling the assignment for research. Research output can be measured by quality and number of productions or publications, and, in some fields, by awards, contracts, and grants received.

Student engagement in ongoing research activities should be considered as part of the designated effort for faculty research activity.

Contact Hour Equivalencies for this activity are determined by dividing 0.0666 into the Designated Effort (expressed as a decimal) and then multiplying by number of terms.

IV. Outreach

A. Clinical Instruction

Definition: Instruction offered to interns, residents, house officers, and post-doctoral trainees in clinical situations by clinical faculty of pharmacy and veterinary medicine.

Contact Hour Equivalencies for this activity are determined by dividing 0.0666 into the Designated Effort (expressed as a decimal) and then multiplying by number of terms.

B. Outreach

Definition: Outreach extends the professional and/or discipline-related services of faculty members to the community, the state, and/or the nation. The primary intent is to provide mission-related research and/or instruction for the direct benefit of groups and individuals outside the University. Activities of Alabama Cooperative Extension System (ACES) are included in the Outreach category.

Auburn University is committed to providing outreach to Alabama and its residents, and to broaden constituencies outside the state. Examples of outreach include continuing education programs; technical assistance and informal education to governmental units, private organizations, and individuals; clinical services; and community and economic development activities.

Contact Hour Equivalencies for this activity are determined by dividing 0.0666 into the Designated Effort (expressed as a decimal) and then multiplying by number of terms

V. Internal and External Services

HSOP depends upon its faculty members to provide many academic governance functions, and this work comprises a part of their internal service. For example, faculty members serve on appointed committees, faculty search committees, review panels, re-appointment, promotion and tenure committees, budget and program task forces, admissions interviews, and many others.

Faculty members are also responsible for service to their professional disciplines. They edit and manage journal publications, and serve on editorial boards that evaluate the quality of research manuscripts submitted for publication. They serve as officers of professional organizations, constitute groups that advise state and federal governments, sit on national panels that select research grant applications for funding, organize and chair scholarly and public meetings and symposia, and serve in advisory capacities to government, industry, and social service organizations.

Service assignments for the individual faculty member for each academic term shall be stated in general terms. At the end of the term, a record shall show specific activities toward fulfilling the assignments for public service.

Contact Hour Equivalencies for this activity are determined by dividing 0.0666 into the Designated Effort (expressed as a decimal) and then multiplying by number of terms.

VI. Academic Administration

Definition: Supervisory, management, or staff activities related to the administration of a department, college, other unit, or the university. This activity provides administrative support and management direction to the instructional, research and

outreach programs. Assignments customarily and regularly require the incumbent to exercise discretion and independent judgment and to direct the work of others. Effort in this activity should reflect the administrative duties assigned to the faculty member. This activity does not include course coordination.

Contact Hour Equivalencies for this activity are determined by dividing 0.0666 into the Designated Effort (expressed as a decimal) and then multiplying by number of terms.

VII. Interactions Among Teaching, Outreach, and Research

Individual faculty members' workloads consist of three separate components: teaching, outreach, and research. For most academic disciplines, these components rarely are clearly distinct. Teaching and research overlap for most physical sciences, life sciences, social sciences, humanities, and engineering faculty projects, where research by the faculty member is inseparable from teaching research methods to graduate students and postdoctoral fellows. Research and outreach are inseparable when the research involves issues relevant to the community or the state, such as programs to assess drug abuse, to improve the health of Alabama citizens, or to demonstrate agricultural research in producer's fields. Teaching and outreach are one when the teaching is in a community healthcare center or a demonstration school. Research and teaching missions are often combined in programs other than those leading to baccalaureate and graduate degrees. For example, a faculty member may be doing research on reading which affects teaching in the secondary education classroom or is applied to adult literacy programs in the community.

7/17/98

INSTRUCTIONS FOR COMPLETION OF THE FACULTY WORKLOAD ASSIGNMENT FORM

These forms are to be completed prior to the beginning of the academic year collaboratively by faculty members and respective department heads/chairs. A faculty member and department head/chair should agree in advance on assigned duties for the academic year. This is a workload assignment procedure not intended to be used separately as a faculty assessment instrument. It should, however, be utilized in the annual performance evaluation.

Fifteen contact hours per term, as described in Attachment A of the Auburn University Faculty Workload Policy Statement, is considered a standard workload. A nine-month workload therefore would be 30 contact hours on a semester calendar, and a twelve-month workload would be 45 contact hours respectively. Total percentage of effort should be 100 percent for the term of appointment. Factors used in calculation for Designated Effort are derived from these standard workloads (i.e., $0.0222 = 1/45$; $0.0333 = 1/30$; $0.0666 = 1/15$)

Step 1.

Begin by completing section I. A-E, Credit Generating Activities Sections of the Faculty Workload Assignment. First complete I. A, Classroom Instruction, with the information regarding the anticipated classroom/laboratory/studio courses to be taught for the entire academic year. Total Contact Hours and Equivalencies for Classroom Instruction should then be converted to Designated Effort. This is done by multiplying the total classroom instruction credits by 0.0222 for twelve-month appointments then multiplying by 100 to convert to percent.

Step 2.

Begin by determining the percentage of time that may be designated to the activities listed in section II. B-H, Other Work Load Generating Activities. II. A is calculated identically to the procedures in Step 1. Once the Designated Effort has been determined, the percentage should be converted to a decimal, divided by 0.0666, and multiplied by the number of terms the activity is conducted to obtain Contact Hours and Equivalencies.

Step 3.

Contact Hour Equivalencies and Designated Effort Grand Totals should be calculated by adding the Total Classroom Instruction results with the Total Other reported in the Other Work Load Generating Activities.