Title:	Guidelines for the Development of Faculty Workload Assignment Policies
Guideline Owner:	Provost Office
Applies to:	All units that report to the Provost Office
Campus Applicability:	UConn Storrs & Regional Campuses
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PURPOSE

The following are guidelines for academic units (e.g., schools/colleges, departments/divisions/units (e.g., centers/institutes), regional campuses) to develop, review, or revise their faculty workload assignment policies consistent with the applicable collective bargaining agreement. It is neither anticipated nor desirable that all academic units of the University or colleges/schools look alike concerning the workload assigned to faculty. However, it is valuable to have a template[1] to enable each unit to make adjustments to fit its unique needs and characteristics (see Appendix A).

The development and implementation of a well-articulated and transparent workload assignment policy is a hallmark of our peer and aspirant universities. A written policy that is explicit and comprehensive is important for all faculty and is of particular benefit for individuals who may be disadvantaged by the informal power structure in departments/divisions/units – including Black, Native American, Hispanic/Latinx, Asian, and women (in some contexts). It is also helpful for those who are new to academia (e.g., first-generation college professors) or to the UConn context (e.g., hires from other higher education contexts or international faculty). Finally, having such a policy ensures that all members of the unit have the same understanding of what is needed to promote their success and advocate for themselves.

Moreover, the existence and utilization of formal workload policies serves both an internal and external purpose. Internally, a workload policy promotes transparency in the assignment of faculty responsibilities and makes it possible to provide clarity to individuals from the time of their hire about what is expected of them across research, teaching, and extension/outreach, and service. Such clarity is also valuable for ensuring equity with respect to such expectations. A workload assignment policy (also referred to as the "workload policy" interchangeably) must have the breadth and flexibility to accommodate individual faculty talents, disciplinary standards, and unit missions and to provide for the equitable distribution of workload. Having such a policy also makes it possible to engage in principled discussions about resource allocation within the unit, which may include changing workload assignment allocations as individuals' roles and/or professional focus evolve over time.

Externally, clearly written and consistently implemented department/unit workload assignment policies help to satisfy the University's responsibility to account for its expenditures of resources in pursuit of its teaching, research, and service/outreach missions. It also supports cross-unit conversations about the use of University resources.

As units develop, examine, or revise workload assignment policies, we encourage them to:
- Use transparency to support and ensure justice and equity
- Make implicit assumptions and expectations *explicit* so that everyone in the unit shares common understandings and can hold leaders and colleagues accountable for the consistent implementation of such policies
- Consider the influence of having a well-articulated policy on the unit's overall climate, well-being, and productivity
- Interrogate past practices and determine best approaches given current and anticipated realities
- Acknowledge disciplinary differences and differentiated faculty positions and role responsibilities, which are typically based on the type of position held (tenure-track and non-tenure-track, research, instruction-focused, or extension)

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[1] The University and its schools and colleges are guided by the Policy on Academic Affairs Policies and Protocols are required to utilize the UConn Policy Template and that format is reflected in Appendix A.

- Recognize that exceptions to established baseline norms are acceptable with appropriate and documented justification
- Discuss how to address issues when personal loyalties conflict with unit-specific or institutional goals

DEFINITIONS AND ACRONYMS

Academic Units: Academic units or units refer to schools/colleges, regional campuses, departments, divisions, and center/institutes.

CIRE Faculty: The acronym is used for clinical, in-residence, and extension faculty.

Faculty Workload Assignment: Refers to the percentage of time associated with each area of assigned duties (e.g., 40% Teaching, 40% Research, 20% Service).

Tenure-Track Faculty: Refers to tenured or tenure-earning faculty

Unit Head: Refers to the Dean/Dean's designee (of nondepartmental schools), Department/Division/ Other Unit Head, Center/Institute Director, or Regional Campus Director whose responsibilities include making decisions about, implementing and documenting faculty workload assignments, and maintaining historical records of the faculty workload assignments.

BACKGROUND INFORMATION

Collectively, the faculty at UConn comprises different positions (e.g., tenure-line (tenured or tenure-track) or non-tenure-track faculty (e.g., CIRE faculty, research faculty) with differentiated roles and responsibilities determined by their specific workload assignment (e.g., teaching/research/service, teaching/service, extension/outreach/research, teaching only).

Policy on Faculty Professional Responsibility

Below we provide an excerpt from the Provost Office's Policy on Faculty Professional Responsibility (3/29/2011). We encourage you to read the full text of this policy to refresh your understanding of the longstanding faculty expectations.

> **Overall responsibilities**: The faculty constitute a community of scholars. The vitality of that community arises not just from individual continuing scholarly achievement but depends as well upon the quality and quantity of collegial interactions and contributions to the mission of that community. Individually, faculty members are expected to engage in research and other scholarly activities, to teach, and to perform service. The typical mix of activities of faculty members varies from one academic unit to another.
>
> As a member of a scholarly community, every faculty member is expected to contribute to the shared responsibilities that support the varied educational mission at the department, college/school, and university level. These responsibilities are clearly set forth in Article XV.L.1. of the University Bylaws, which states, "While members of the professional staff of this University are employed for a variety of duties, as a general rule the University will expect to assign to each full-time member of the professional staff duties which are reasonable and consistent with good and effective teaching practices at both the undergraduate and graduate levels. In conjunction with this, staff members will be expected to carry a reasonable amount

of ordinary departmental duties and routine committee responsibilities and to undertake those activities of self-improvement and professional development which are part of every faculty member's investment in his or her own future. Such assigned responsibilities as unusually heavy loads of student counseling, the chairmanship of committees that are unusually time-consuming, research projects which have been designated as a part of the staff member's assigned load, unusually heavy enrollments in courses, and assigned administrative duties will be considered in determining the number of contact hours assigned to any individual." **In furtherance of these Bylaws' professional staff loads provisions, individual faculty member's responsibilities are determined in consultation with the department head, or dean in a nondepartmental structure, and are based on the academic unit's workload guidelines**. These guidelines recognize discipline-specific standards that ensure that individuals fulfill all facets of the responsibilities of a faculty member in a research university.

New England Commission for Higher Education (NECHE)

NECHE is the regional accreditation body for colleges and universities in the six New England states: Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, and Vermont. Standard 6: Teaching, Learning, and Scholarship of (NECHE) Standard for Accreditation states:

> 6.7 Faculty assignments are consistent with the institution's mission and purposes. They are equitably determined to allow faculty adequate time to provide effective instruction, advise and evaluate students, contribute to program and institutional assessment and improvement, continue professional growth, and participate in scholarship, research, creative activities, and service compatible with the mission and purposes of the institution. Faculty assignments and workloads are reappraised periodically and adjusted as institutional conditions change.

Differentiated Faculty Role Responsibilities

Faculty workload assignments and activities vary greatly depending on their disciplinary field. Thus, academic units must articulate a flexible and equitable workload policy consistent with the unit's and University's missions and aspirations and with disciplinary conventions across our peers and aspirants. Establishing workload expectations provides an important baseline for assessing faculty performance and documenting University resource allocations. Workload expectations can also be used as a point of reference for faculty development efforts, including assessing exceptional performance, determining if a faculty member is performing at or below the expected level, and providing support to assist faculty in meeting established performance levels. The unit head should confer with the dean when drafting or making substantive revisions to workload policies to ensure that faculty workload expectations are or continue to be aligned with college/school expectations and adhere to budgetary constraints. The Provost's Office may also review these policies.

Below are examples of activities in which the majority of faculty members engage. The proportion of the overall time dedicated to each depends on their roles and responsibilities as tenure-track or non-tenure-track (e.g., CIRE or research) faculty members. Each academic unit's workload policy should articulate baseline expectations for each area of faculty responsibility (e.g., research, teaching, service, and/or outreach) for each faculty type in their academic unit.

For a more complete description of each of these roles, please refer to the Policy on Faculty Professional Responsibility 3/29/2011).

Instruction/Teaching

Instruction/teaching refers to all time devoted to teaching, including but not limited to time spent in class or other instructional settings (e.g., practicum, clinical sites, extension sites), preparing for instruction, grading assignments and exams, and talking to students about the course or experiences, as well as time spent organizing and facilitating seminars.

Other Instruction-related Activities

Other instruction-related activities may include those that are not directly linked to the implementation of a specific course but are essential to the University's teaching mission (e.g., program coordination, new course/program development, advising students, serving on thesis committees, supervising graduate students, postdocs, and undergraduates engaged in independent research, improving instructional strategies, etc.).

Research/Creative Activity

Research/Creative Activity refers to the broad range of scholarly activities that typically result in scholarly output, including but not limited to publications, exhibits, and performances. It also includes engagement in sponsored (i.e., externally funded) and non-sponsored (i.e., internally funded) research efforts.

Extension/Outreach

Extension and outreach is working collaboratively with audiences and stakeholders to partner and find solutions through applied research, teaching and facilitation that improve and strengthen communities in Connecticut and beyond.

Service

Service is broadly defined as the act of supporting through effort the University community (i.e., University, college/school, and/or departmental/division/unit committee), professional community (e.g., service on editorial boards, holding elected positions in professional societies), and/or broader society, beyond the scope of the faculty member's official teaching, extension and/or research expectations. Service is valued as a necessary part of shared governance activities, demonstrating one's collegiality and willingness to participate as an effective and constructive contributor to the academic community at the levels of the program/department/unit, college/school, and University. Service to the state, region, national and international communities, as well as to one's discipline in a manner consistent with one's expertise is important. It may also enhance the visibility and reputation of the individual and the University. All faculty should participate in an active program of service. In accordance with the principles of shared governance there is an expectation that all tenured, tenure-track faculty, and CIRE faculty attend faculty meetings and serve on committees that support department/division/unit, school/college, and/or University operations. The service contributions of research faculty will depend on the percentage of time assigned to research activities that is linked to specific funding sources (e.g., research grant vs. state/University funds) for areas of assigned duties.

Boundary Crossing Activities

Other professional activities in which faculty may engage may be addressed under multiple categories depending on the nature of the specific activity.

Community Engagement

Community engagement is integral to the University's mission and is valued internally as well as externally by such designations as the Carnegie Classification as a Community Engaged University. Community engagement describes those activities that honor community engagement principles (reciprocal partnerships, collaboration, and shared purposes) that occur in partnership with a local, regional, state, national or global community and result in the beneficial exchange of knowledge and resources. ***Community-engaged teaching*** (e.g., service learning, facilitated practica/internships) includes learning activities that take place with a community, to the benefit of the community. In such cases, the community-based assignments enhance course content and occur with faculty oversight. ***Community-engaged research or scholarship*** involves faculty in collaboratively designed efforts that result in scholarship (i.e., capacity building, discovery, integration, application). ***Community-engaged service*** describes those service activities that faculty undertake in a context of reciprocal partnership with an external entity (e.g., schools, government agency, business, community organization, etc.) under the aegis of their roles as UConn faculty.

Professional Growth, Leadership Development, and Mentoring

Time spent on activities that contribute to faculty members' professional knowledge and growth (self or others), their development as managers and leaders, or their engagement in mentoring relationships are all valued. For example, faculty may engage in professional development and growth activities to enhance their delivery of instruction (e.g., taking a CETL course), greater understanding of emerging research approaches or the research enterprise (e.g., a program to learn grant writing skills or new methodological approaches), or engagement in service and outreach activities (e.g., participating in professional growth activities related to a specific service they are providing, such as learning to write for the lay audiences). Additionally, faculty may participate in leadership development programs to enhance their management or leadership skills as current or emerging leaders.

FACULTY WORKLOAD ASSIGNMENT GUIDELINES

Faculty workload is a composite of all professional tasks performed by faculty that contribute to the University's overall mission and goals, including teaching, research/creative activity, service (e.g., department/division/unit, school/college, university, profession) and outreach, as well as the boundary-crossing activities. Faculty workload assignments are configured flexibly and linked to the specific faculty position (e.g., tenured or tenure-track faculty, CIRE, or research faculty) and the appointment held (e.g., 9-, 10-, or 11-month). The workload assignment should be commensurate with delineated performance expectations for the specific areas of role responsibility (American Council on Education, 2021). Faculty members are encouraged to consult the unit-specific documents that clarify expectations given their positions, roles, and areas of responsibility.

In most cases, faculty workload assignments are discussed in terms of a faculty member's teaching assignments. For example, an individual hired to teach 100% of the time might be said to have a 4/4 teaching load, which is to be interpreted as the equivalent of four units of instructional time (e.g., four 3-credit hours courses or a combination of 3- and 4-credit hour courses) each semester (fall/spring). The

amount of assigned instructional units is reduced to permit faculty members to engage in other duties based on their specific position and role responsibilities consistent with the goals, mission, and the directions of the academic unit (department/division/unit, school/college) (see Figure 1). In consultation with the Dean, each academic unit (departments/units) policy should articulate baseline workload expectation norms for each faculty position type in the unit based on disciplinary standards and the school/college and University mission.

Workload Assignment Considerations

A variety of factors may influence a faculty member's workload assignment. Therefore, it is essential that any variance from the baseline workload assignment outlined in school/department/division/unit policies be documented in writing (for the Unit Head(s) and the individual faculty member) and the period of time that the variance is expected to be in place. A variation, by its definition cannot exist in perpetuity. The judgment of the Department/Division/Unit Head or Director in conjunction with the Dean/Designee will be critically important in considering these factors and their interactions (see, e.g., *Additional Faculty Workload Assignment Considerations* section) and their possible interactions. The critical point is that departments/divisions/units, through their faculty members' aggregated efforts, should contribute in fully equitable ways to the school/college/campus and University needs and overall mission.

Unit Heads assign workloads with the understanding that:
1) workload assignments reflect each faculty member's position, expertise, and performance;
2) workload assignments support efforts to deliver courses and programs efficiently and responsibly to meet the needs of the unit, the University, and its students;
3) the assignment for research, service, and administrative work can be interpreted flexibly across the academic year;
4) the units of assigned time can be further divided into smaller units of time;
5) exceptions to established baseline norms are acceptable with appropriate justification. Therefore, it is normal for the proportions of a faculty member's effort devoted to teaching, research, and service to vary from time to time (see, e.g., Figure 1).

Figure 1 illustrates possible baseline faculty workload assignments for fictitious faculty members who hold various titles and role responsibilities in a fictitious academic department/unit *for illustrative purposes only*. In consultation with the Dean, each academic unit will develop a faculty workload assignment policy based on their disciplinary standards and in consideration of budgetary constraints.

Workload Assignment and Its Relationship to Faculty Time and Compensation

Faculty workload assignments outline the percentage of time faculty should dedicate to each area of assigned duties, and accordingly, for accounting purposes the percent of a faculty member's compensation allocated to those assigned duties. Faculty workload assignments are discussed in terms of the faculty member's full or part-time status and the typical amount of effort in a work week necessary to fulfill the assigned workload while recognizing that faculty members schedules are flexible and not coincident to standard business hours in the completion of their assigned duties. In reality, we are all aware that many faculty members work greatly in excess of what typical full-time hours in a workweek represent; however, anything a faculty member does over and above the fulfillment of the assigned workload can be attributed to whatever endeavor they choose. In addition, having an established workweek benchmark allows the University to be able to support the additional time a faculty may use to engage in activities unrelated to their assigned duties, such as consulting. Because of this, the percentages assigned should reflect, to the extent possible, the reality of how each faculty member ought to distribute

their time and efforts. With this understanding, faculty can better gauge the time dedicated to each area of role responsibilities and make adjustments when needed (see Figure 1).

Figure 1. Examples of Faculty Workload Assignments from a Fictitious Academic Unit

Workload Policy: (Baseline Faculty Assignment)

Tenure-Track Faculty
- Teaching Load: 2/2 (interpreted to mean two 3- or 4-credit courses each semester)
- Baseline Percentage of Assigned Time: 40% Teaching, 40% Research, 20% Service

Non-Tenure-Track Faculty
- Teaching Load: 4/3 teaching load (interpreted as teaching the *equivalent* of 7 courses during the academic year, which may involve clinical supervision, extension activities, and the like depending on the faculty member's role.)
- Baseline Percentage of Assigned Time: 75% teaching, 25% other (i.e., time for scholarship, services, administrative assignment, or a combination thereof). Example: 75% Teaching, 10% Scholarship, 15% Service

Research Faculty
- 75% Research Load, 25% Other (i.e., time for teaching, service, administrative assignment, or a combination thereof)

Examples of Tenure-Track Faculty Workload Assignments*

Professor		Professor		Associate Professor		Assistant Professor (Y4)		Assistant Professor (Y1)	
Fall	**Spring**	**Fall**	**Spring**	**Fall**	**Spring**	**Fall**	**Spring**	**Fall**	**Spring**
Teaching	Teaching	Teaching	Teaching	Teaching	Teaching	Teaching	Teaching	Teaching	Teaching
C-Buyout	C-Buyout	Teaching	Teaching	Teaching	C-Buyout	Teaching	Teaching	Teaching	Research
C-Buyout	Research	Admin	Admin	Research	Research	Research	Research	Research	Research
Research	Research	Research	Research	Research	Research	Research	Research	Research	Research
Service	Service	Service	Service	Service	Service	Service	Service	Research	Service

Assigned Times Relation to Baseline Hours Worked (typically the recognized standard of a full time work week) and Compensation

Teaching: 20%, 8 hrs	Teaching: 40%, 16 hrs	Teaching: 30%, 12 hrs	Teaching: 40%, 16 hrs	Teaching: 30%, 12 hrs
Research: 60%, 24 hrs	Research: 20%, 8 hrs	Research: 50%, 20 hrs	Research: 40%, 16 hrs	Research: 60%, 24 hrs
Service: 20%, 8 hrs	Service: 20%, 8 hrs	Service: 20%, 8 hrs	Service: 20%, 8 hrs	Service: 10%, 4 hrs
	Admin: 20%, 8 hrs			

Examples of Non-Tenure Track Faculty Workload Assignment

In-Residence		In-Residence		Clinical Professor		Extension Professor		Research Professor	
Fall	**Spring**	**Fall**	**Spring**	**Fall**	**Spring**	**Fall**	**Spring**	**Fall**	**Spring**
Teaching	Teaching	Teaching	Teaching	Teaching	Teaching	Teaching	Teaching	Research	Research
Teaching	Teaching	Teaching	Teaching	Teaching	Teaching	Teaching	Teaching	Research	Research
Teaching	Teaching	Teaching	Teaching	T-Clinical	T-Clinical	Extension	Extension	Research	Research
Scholarship	Service	Service	Service	Research	Service	Extension	Research	Research	Research
		Scholarship	Admin	Service	Service	Research	Service	Teaching	Service

Assigned Times Relation to Baseline Hours Worked (typically the recognized standard of a full time work week) and Compensation

Teaching/Advising: 75%, 30 hrs	Teaching: 60%, 24 hrs	Teaching: 60%, 24 hrs	Teaching: 40%, 16 hrs	Research: 80%, 32 hrs
Scholarship: 15%, 6 hrs	Scholarship: 10%, 4 hrs	Scholarship: 10%, 4 hrs	Extension: 30%,12 hrs	Teaching: 10%, 4 hrs
Service: 10%, 4 hrs	Service: 20%, 8 hrs	Service: 30%, 12 hrs	Research: 20%: 8 hrs	Service: 10%, 4 hrs
	Admin: 10%, 4 hrs		Service: 10%, 4 hrs	

*Note: The information presented here is for illustrative purposes only. Workload assignments (i.e., the percentages assigned to each area of assigned duties) should reflect the roles, responsibilities, and expectations of the specific department/unit. Workload assignments may change from time to time, but all changes must be documented in writing. Workload adjustments (e.g., course release, course buyouts) are permitted with appropriate justification, documentation, and prior approval. C-Buyout refers to a course buyout from grant funding or other arrangements. Admin refers to release-time for an administrative assignment. T-Clinical refers to an off-campus site-based instructional practicum/clinical assignment.

Workload Adjustments

Unit Heads should meet with faculty to discuss and adjust baseline workload expectations and effort allocation. A change in workload assignment can be initiated either by the faculty member or the Unit Head. In the case of tenure-earning faculty, great care must be taken to ensure that any workload adjustment does not jeopardize the case for tenure. When the teaching assignment is reduced to enable a greater percentage of assigned time for research, it is expected that the assigned research load will lead to greater scholarly productivity.

Initiated by a Faculty Member

A faculty member may request to be assigned duties that emphasize research, teaching, or service over other work areas for an agreed-upon time-limited period. In conjunction with the Unit Head, the faculty member should develop an action plan to ensure that the proposed activities complement the academic unit's, school's/college's, and University's objectives, standards, and needs. The use of external funds to offset the cost of any such adjustment is encouraged (e.g., course buyouts for additional research time).

Initiated by the Unit Head

Each year, in accordance with any applicable collective bargaining agreement, the Unit Head will review faculty members' assigned workload and the faculty members productivity along with present and future teaching, research productivity, or service contributions, including any problems in the performance of their duties in accordance with the Policy on Faculty Professional Responsibilities.

Any change in workload assignment must be documented in accordance with the yearly meeting. Records should be retained for any approved short-term and time-limited adjustments to the established baseline faculty workload assignments (e.g., course buyouts/releases). Longer-term (e.g., three or more years) adjustments to baseline assignments require Dean and Provost approval.

Additional Faculty Workload Assignment Considerations

Below are additional considerations in developing or revising a policy for the allocation and weight of faculty workload components, which may vary by school/college/campus and department/unit guidelines.

Pedagogical Considerations, including Class Modality and Size

The course modality (i.e., online (asynchronous vs. synchronous), hybrid, face-to-face), the nature and volume of the assignments, and class size have a significant impact on workload. For example, preparation time will likely differ for lectures to be delivered, discussions to be stimulated, writing-intensive courses, or virtual/distance learning courses. The instructional assignment may also depend on an instructor's level of experience. Similarly, time devoted to interactions with students and grading assignments will vary not just based on class size, but also the number, length, and type of projects/papers that students are required to submit. Teaching large classes may reduce teaching load when warranted, particularly in cases where student learning assessment extends beyond multiple-choice and "objective" forms of testing. Class size may be a lesser issue if graduate assistants are provided to support the implementation of the course. Individuals who teach very small doctoral seminars (as sometimes dictated by disciplinary accrediting standards/guidelines) may be asked to teach additional classes or sections. The Unit Head's judgment is critical in consideration of this factor.

Course Repetition

Course repetition, as a factor influencing teaching load assignment, may be implemented in different ways. A faculty member may be assigned the same course for more than one section or consistently across multiple semesters, eliminating the need for a new/full course preparation. Both forms of course repetition may reduce the percentage of teaching assigned while not reducing the number of classes/sections taught. This approach is likely to be particularly helpful to tenure-earning faculty or tenured faculty working toward promotion to full professor. Consideration of a faculty member's position

in their career track (i.e., tenure-earning or promotion eligible vs. fully tenured) provides essential context for the allocation and weight of teaching assignments.

Teaching Assistants

The assignment of a Teaching Assistant (TA) to a faculty member to assist with instructional delivery or student assessment is another factor for consideration. For example, when one or more TAs are assigned to support faculty with large classes, it may sustain a faculty member's teaching load assignment without a teaching load reduction based on class size. Alternatively, if a faculty member teaching a section of a course mentors and supervises multiple TAs who serve as the Instructor of Record of sections of the same course, an increase in the percentage of time allocated to teaching may be warranted.

Co-Teaching

Co-teaching occurs when two or more instructors work together as full partners to develop, teach, and grade assignments for a course together as co-equal instructors for the entire semester. Co-teaching offers many benefits for the faculty and students but may present challenges in terms of teaching credit, workload assignment, and budgetary considerations. Below are some models for implementation that factor in the intent of the collaborations, the benefits to students, and class size minimums. There are various available models for implementing co-taught courses, each of which may influence the given workload assignment for an individual faculty member depending on their level of contribution. A few examples are provided below to illustrate possible differences in workload assumptions.

- *Paired or Connected Courses.* Two independent courses, each with its own instructor, are scheduled to meet at the same time and meet jointly with both instructors throughout or in planned intervals during the same semester.
- *Tag-Team Teaching.* Only one instructor is present at a time. Each instructor is responsible for and teaches a predetermined percentage of the course (e.g., two instructors who each teach one-half of the course).
- *Integrated Teaching.* Two or more (interdisciplinary) instructors are fully joint instructors of the same course and collaborate to integrate their contributions throughout the entire course.

Because of the implications associated with co-teaching, faculty members must consult and seek approval from their respective Unit head(s) and Dean before committing to a co-teaching arrangement. Such consultation will provide an opportunity to discuss the appropriate co-teaching model to be used as well as workload assignment expectations, fiscal and program delivery implications, and performance review considerations.

Performance-based Assessment/Practica/Internship

Assessment of student skill development, particularly when done in off-campus practica settings or outside of the typical classroom, may involve an extensive faculty time commitment. Teaching courses involving performance-based assessments, practicum or clinical assignments, and internships may require an adjusted teaching-load assignment. However, teaching only an on-campus practicum course component while a field supervisor assumes primary responsibility for on-site supervision may not result in an adjustment in teaching load assignment. The number of students supervised and the level of involvement/engagement (when the faculty member is a supervisor or co-supervisor) and the number of visits off-campus to practicum/clinical and internship sites are important factors in determining the appropriateness of a teaching load assignment. Supervision could be a task shared equitably across all members of a program faculty, and therefore may not be a factor that differentiates individual teaching load assignment.

Course Reduction for Instruction-related, Research, or Administrative Assignment

Faculty may be released from some of their typical workload assignments to perform work not typically associated with their primary job assignment (e.g., hold administrative appointments). In such cases, the roles, responsibilities, and tasks to be completed and the exact nature of the release time for the duties must be agreed upon and documented between the person performing the duties, the Unit Head and the Dean.

Course Buyouts (Externally-funded Grants or Contracts)

Faculty members may use funds from research grants or contracts to buy out some time typically assigned for teaching or for engaging in other work duties during the academic year as guided by appropriate academic unit policies or guidelines. Assumptions about grant funding, including planned buyouts, should be discussed in advance among the faculty member, Unit Head, and Dean. No faculty member on a tenure-line may commit 100% of their time to externally funded projects, except under exceptional circumstances agreed upon on a priori basis by all pertinent stakeholders (e.g., PI/faculty member, Unit Head, and Dean).

Substantial University/Departmental Service Responsibilities

Special service assignments expected to require a considerable amount of a faculty member's time may warrant teaching load reductions (e.g., serving as the Department/Unit Head).

Consulting

Faculty consulting is guided by the [Policy on Consulting for Faculty and Members of the Faculty Bargaining Unit](). All faculty members must receive permission in advance from their Unit Head to engage in consulting activities. Request for consulting permission must be submitted through the [Faculty Consulting Portal](). According to the policy on consulting, permission to consult may be granted only when:

- The request to perform the consulting activity occurs due to the faculty member's expertise or prominence in their field, not the faculty member's official State position.
- The faculty member is currently fully performing their State duties.
- The consulting activity will not interfere with a faculty member's future ability to perform their duties.
- The faculty member is not competing with the University for work that may be perceived as being work the University would choose to perform.
- Those members of a faculty bargaining unit who have specific teaching and/or research responsibilities, the consulting contributes to the continued development of the faculty member's professional expertise or academic reputation.

Rules related to faculty consulting continue to apply for faculty who receive additional compensation from the University for work done in the summer from the University.

Teaching in the Summer, in lieu of the Academic Year

On a voluntary basis and with prior approval from the Unit Head, a faculty member may be allowed to substitute a summer teaching assignment for a fall or spring teaching obligation. This exchange will be

considered a part of the faculty member's regular teaching load and will not be eligible for extra compensation. The Office of Summer and Winter Programs must be notified of such arrangements once approval is granted.

Faculty with Joint Appointments with other Units

As stipulated in the Provost Office's Guideline for Secondary Appointments, the Unit Heads of the primary and secondary appointment must collaborate on and document the workload assignment for faculty with joint or shared (i.e., percentage of time assigned to another unit) appointments. The workload assignment for faculty with joint appointments are typically stipulated in an MOU signed by all relevant parties. Unit Heads must convey any changes in workload assignment in writing and provide a copy to the other supervising Unit Head. Care must be taken to ensure that the faculty member with joint appointments can meet the standards and expectations of both units. The primary supervisor must also obtain and factor in the feedback from the secondary supervisor as part of all performance review processes.

FACULTY WORKLOAD ASSIGNMENT POLICY IMPLEMENTATION AND ACCOUNTABILITY

Dean

The Dean has the overall responsibility for managing the academic unit resources (e.g., human, fiscal, and capital). Thus, they are responsible for reviewing proposed workload policies for academic units under their charge and considering their relationship to overall program delivery and the overall school/college and University mission, goals, and budget. The Dean may recommend revisions to proposed department/unit policies prior to formal departmental approval. The Dean is also responsible for monitoring the equitable distribution of faculty workload assignments within their school/college and ensuring that practices adhere to University norms and expectations.

Unit Heads

In accordance with the Policy of Faculty Professional Responsibilities, Unit Heads are responsible for assigning faculty workload equitably within their unit, monitoring and ensuring compliance with established department/unit workload policies, and maintaining records of faculty workload assignments. Such determinations should also consider an individual's situation, recognizing that, at times, such factors may conflict with each other. Considerations should also be given to faculty productivity, faculty facilitation of successful doctoral student degree completion (where relevant), program delivery, and budgetary implications. Additionally, in accordance with any applicable collective bargaining agreement, the Unit Head reviews faculty performance in each area of assigned duties and should consider their role in supporting the University's commitment to mentoring and supporting all faculty, which includes providing rigorous, direct, and honest feedback as part of performance review processes.

Approval for Overload Assignment

The first obligation of faculty members is to complete responsibilities associated with their assigned duties related to teaching, research, and service. However, there are times when a faculty member is asked to perform duties that are substantially different from or *above and beyond* their primary workload assignment. In such cases, they want or are asked to perform an overload assignment within their unit or a different university unit. Decisions about overload assignments are made on a case-by-case basis by the

Unit Head and Dean. To be approved for an overload assignment, the faculty member must, at a minimum, perform satisfactorily in all areas of assigned duties. Tenure-earning faculty members are not normally considered for overload assignments. Repeated requests for an overload assignment for the same activity will be examined for consideration as part of the faculty member's normal workload assignment. Overload assignments must comply with the University's policies regarding faculty compensation.

Faculty

Faculty are responsible for discussing their goals, aspirations, and productivity with their Unit Head so that their needs are considered when workload assignments are made. Because the goals and needs of the department, school/college, and University are prioritized over the needs of any individual or group, faculty must acknowledge that it may not be possible to meet all of their preferences. Therefore, faculty should monitor the use of their time against their given workload assignment. If imbalances are found, faculty should adjust their time use or seek guidance from their Unit Head to determine where adjustments can be made. Any changes in assigned duties must be documented in writing.

Provost

To ensure that equitable and consistent practices are used and that no faculty group is systemically disenfranchised, the Dean's and the Provost's Offices will review faculty workload assignment policies when developed and revised and will periodically examine workload assignment data within units and across the University. Reviewing this information will permit the University to identify and mitigate any areas of potential concern (i.e., inequitable distribution of workload or budgetary implications).

References

American Council on Education. Equity-minded faculty workloads: What we can and should do now. Washington, DC: Author

Appendix A. Template for Academic Unit Workload Assignment Policy

Note: The approved [UConn Policy Template](#) is used below. The boilerplate language below is intended to assist in the development of the workload assignment policy and may be modified, amended or deleted as appropriate.

Title	Faculty Workload Assignment Policy
Policy Owner	[e.g., Department of XXX]
Applies to	[e.g., All full-time faculty members in Department X]
Unit Applicability	[e.g., Name of school/college, regional campus, department/division/unit]
Effective Date	[e.g., The date the version of the policy was approved by the highest authority required]
For More Information Contact	[Identify the office or position. Avoid the use of a person's name]
Contact Information	A phone number or email of the office or position listed above.
Official Website/Venue	Link to venue where the policy will be posted

[Note: Academic units may adjust the information below to meet their specific disciplinary standards. However, all critical information must be included. Please refer to the University's policies and protocols.

BACKGROUND

[Describe guiding principles or other contextual information to help the reader interpret the workload guidelines for the specific unit. This section may describe baseline expectation for teaching, research, and service. This section should also highlight the connection between the workload assignment and performance review criteria (e.g., Faculty performance will be judged in each area of assigned duties (e.g., teaching, research, and service).

Teaching Expectations. All faculty in the department are expected to contribute to its research mission. However, the proportion of assigned time devoted to teaching will differ based on the appointment held (i.e., teaching focus vs. research focus.)

> [Use this section to delineate departmental assumptions about teaching expectations. Consider including language about summer teaching in lieu of teaching during the academic year (if relevant).

Research and Creative Activity Expectations. Faculty with assigned time for research/creative activity are expected to maintain an active program of productivity and are expected to secure external funds as appropriate to the disciplinary field.

> [Use this section to describe department assumptions about research/creative activity expectations.]

Service Expectations. All faculty participate in an active program of service. Faculty are expected to attend faculty meetings and serve on department committees that support departmental operations.

... service to university… service to professional

Faculty evaluation will take into consideration each area of assigned duties commensurate with given workload assignment.

PURPOSE

[State the purpose, which must begin with "To". For example, *To articulate expectations* ….]

DEFINITIONS (IF APPLICABLE)

Define terms that are technical or not commonly known

POLICY STATEMENT

It is normal for the proportions of a faculty member's efforts devoted to teaching, research, and/or service to vary over time. The Department/Division/Unit Head, Director, or Dean will assign workloads based on the faculty member's role responsibility.

[Describe the typical workload expectation for each type of faculty in the department (e.g., tenure line (tenured or tenure-earning), clinical, in-residence, or extension faculty). This should be addressed with sufficient specificity that faculty members recognize assumptions about expected use of time (e.g., 40% teaching, 40% research, 20% teaching as relevant to the position held.]

Tenure Track. The typical teaching load for tenured or tenure-earning faculty is a N/N teaching load assignment with the remainder of the work duties negotiated between the faculty member and the Unit Head. The typical baseline workload assignment is XX% teaching, XX% research, and XX% service.

In-Residence. The typical teaching load for an in-residence faculty is a N/N teaching load assignment with the remainder of negotiated between the faculty member and the Unit Head. The typical baseline workload assignment is XX% teaching, and XX% services. Consideration is given to the departmental needs and faculty member's interest in regards to the potential assignment of time for research/scholarly activities. Other factors that might impact the assignment include…

Clinical. The typical teaching load for a clinical faculty is a N/N teaching load assignment with the remainder of duties negotiated between the faculty member and the Unit Head.….. The typical baseline workload assignment is XX% teaching and XX% service.

Extension. Extension faculty are responsible for ….. The typical baseline workload assignment is XX% extension, broadly construed as efforts to …. and ….

All faculty workload assignments and adjustments to the baseline workload assignments, with accompanying justification must provided in writing. Historical records of faculty assigned duties (i.e., % of time allocated to areas of responsibility) will be maintained as part of departmental archival information and may be reviewed by upper administration.

Workload Assignment Adjustments

[In this section, describe the typical teaching load reductions for faculty based on other identified departmental or college/school criteria (e.g., tenure-earning professor, endowed professors) or administrative assignment (e.g., Associate Department Head).

Department/Division/Unit Heads, Directors, or Dean should meet with faculty to discuss and adjust baseline workload expectations and effort allocation, typically as part of a performance review process. A change in workload assignment can be initiated either by the faculty member or the Department/Division/Unit Heads or Directors. In the case of a tenure-earning faculty, take great care to ensure that any workload adjustment does not jeopardize the case for tenure. When the teaching assignment is reduced to enable a greater percentage of assigned research, it is expected that assigned research load is commensurate with the expectation of significant scholarly productivity.

- **Initiated by a Faculty Member**. A faculty member may request to be assigned duties that emphasize research, teaching, or service over other areas of work over an agreed time-limited period. In conjunction with the Department/Division/Unit Heads, Director, or Dean, the faculty member will develop an action plan to ensure that the proposed activities complement the Department's objectives, standards, and needs. The use of external funds to offset the cost of any such adjustment is encouraged (e.g., course buyouts for additional research time).
- **Initiated by the Unit Heads**. Each year, the Unit Head will review faculty members' assigned workload and the faculty members productivity along with present and future teaching, research productivity, or service contributions including any problems in the performance of their duties in accordance with the Policy on Faculty Professional Responsibilities. Any change in workload assignment must be documented in accordance with the yearly meeting. Unit Heads can approve and must retain records of short-term and time-limited adjustments to the established baseline faculty workload assignments (e.g., course buyouts/releases). Longer-term (e.g., three or more years) adjustments to baseline assignments require Dean and Provost approval.

Course Release/Buyouts

[Include criteria for course buyouts, if relevant to the specific academic unit]

ENFORCEMENT
[The statement below must be included verbatim based per University protocols.]

Violations of this policy may result in appropriate disciplinary measures in accordance with University Bylaws, General Rules of Conduct for University Employees, applicable collective bargaining agreements, and the University of Connecticut Student Code.

PROCEDURES/FORMS [if relevant]
[Procedures and forms should not be included within the main body of a policy. Instead, units should include links to procedural information and applicable forms here.]

REFERENCES

[Include references to documents (i.e., other relevant university, state, federal policies that support the information outlined in the policy statement]

[Policy on Faculty Professional Responsibilities](#)
[Guideline for Secondary Appointments](#)
[Policy on Consulting for Faculty and Members of the Faculty Bargaining Unit](#)
[Policy on Extra Compensation for Full-time Faculty in AAUP](#)

POLICY HISTORY

[Comprehensive history of each version of the policy by effective date (effective date represents when the version was approved by the highest authority required). Do not include dates when technical revisions were made.

Example:
Created on: 3/1/2007 (Approved by….)
Revised on: 4/1/2010 (Approved by …)
                     8/1/, 2015 (Approved by …)