

Revision Date	Version	Key Change or Comment	Approved by
2014.09.30	1	New Policy	Dr. Charles J. Hardy, Dean

## **Workload Allocation for Full-Time Faculty**

### **A. Purpose and Preamble**

This policy and associated procedure is established to provide clarity and guidance to the College of Health and Human Services (CHHS) faculty and administrators with regard to assigning workload for all full-time faculty members within CHHS, as defined in the UNCW Faculty Handbook. Allocation of workload provides the essential frame of reference in annual performance evaluation and merit review of faculty members and consideration of faculty members for reappointment, tenure, promotion, and post-tenure review.

Each school within the CHHS (School of Health and Applied Human Sciences, School of Nursing, and School of Social Work) is responsible to create and maintain workload policies that adhere to the principles and policies outlined in this document. Examples are provided throughout this document for how the policy might be implemented. These are just examples and are not intended to be rules for implementing the policy. Variations across faculty, programs, and schools within the college do exist, thus, schools are encouraged to create their own examples as part of their school workload policies. All school workload policies must be reviewed and approved by the Dean of CHHS and the Vice Chancellor for Academic Affairs.

### **B. Guiding University Policies and Procedures**

[The UNC Policy Manual 400.3.4](#)

[The UNCW Faculty Handbook Chapter 5.A.1.x](#)

[UNCW Faculty Workload Policy](#)

CHHS Organizational Structure

### **C. General Roles and Responsibilities**

For the purposes of this document, the evaluation cycle will include the academic year and the summer (as appropriate) preceding the academic year.

1. **Faculty Member:** The faculty member completes an annual work plan, in collaboration with the School Director, that meets the expectations as articulated in this policy. The faculty member works in collaboration with the School Director to a) update the work plan as needed during the academic year; b) facilitate peer review evaluation; and c) document accomplishment of the work plan, using Digital Measures and other tools, for annual performance evaluation as well as for retention, tenure, promotion, and post-tenure review processes.
2. **School Director:** The School Director ensures that the School workload allocation policy is developed and maintained in compliance with CHHS policy. S/he initiates for each faculty member the process of completing the work plan each year. The School Director negotiates the work plan with individual faculty members, including the identification and review of necessary resources to ensure faculty success in meeting work plan expectations. For the upcoming evaluation cycle, s/he submits an annual plan that details the workload allocations within the School and outlines the resources needed to support this allocation for the next evaluation cycle. The School Director revises individual work plans, in concert with the faculty member, as needed during the evaluation cycle; and during the annual performance evaluation, reviews documentation of accomplishments with each faculty member. At the end of the evaluation cycle, the School Director submits an annual report to the Dean of CHHS of actual workload allocation within the School and the resources utilized to support the allocation.
3. **CHHS Dean:** The Dean reviews and approves unit workload policies. Upon his/her approval, s/he submits to the Vice Chancellor of Academic Affairs for review and approval. The Dean (or designee) oversees the implementation of CHHS workload policy and procedure in a manner that ensures equity across the CHHS units, in accordance with CHHS vision, mission, goals, and objectives, UNCW mission and workload policy, and UNC System policy. The Dean reviews and gives final approval of the annual workload plan submitted by the Schools and authorizes the allocation of resources to units to support faculty work plans as resources are available. The Dean submits an annual CHHS workload report to the Provost.

## D. Policy and Guiding Principles

### 1. Guiding Principles

- a. Providing flexibility to unit administrators in allocating workload enables CHHS and its units to accomplish their respective missions in teaching, scholarship, and service.
- b. Fairness, transparency, and consistency in the assignment and rewarding of faculty effort across the professional schools and offices in CHHS are fundamental to achieving our vision.
- c. We are dedicated to developing a culture of good citizenship and collective commitment to internal and external CHHS stakeholders, including, but not limited to, students; faculty and staff colleagues; local, regional, national, and global stakeholders; professional colleagues and organizations.
- d. Allocation of workload should achieve effective and efficient operation of CHHS and its units, promote good stewardship of resources in serving the citizens of North Carolina, and ensure compliance with UNCW and UNC System policies and procedures.

### 2. Measurement of Workload

The College of Health and Human Services utilizes a differential distributed effort model to allocate full-time faculty workload. A work plan is developed annually for each full-time faculty member for the 9-month academic year or the 10/11/12-month evaluation cycle, depending on the faculty member's contract. The work plan is completed by the faculty member in collaboration with the School Director. The form is then signed by the faculty member, approved by the School Director (where applicable), and sent to the Dean for final review and approval.

The work plan establishes each faculty member's specific responsibilities in the three major responsibility areas: Teaching; Research, Scholarship and Artistic Achievement; and Service. Total effort in the work plan must sum to 100%. The work plan serves a variety of important functions; in particular, it constitutes the essential frame of reference in annual performance evaluation and merit review of faculty members and consideration of faculty members for reappointment, tenure, promotion, and post-tenure review.

### 3. Areas of Responsibility

CHHS faculty members are expected to contribute in each of the three major responsibility areas listed below based on the guidelines according to rank and tenure-status. Expectations are more specifically defined in the individual work plan and are consistent with unit policy and procedure. Each responsibility area may include activities in interdisciplinary/interprofessional efforts and/or professional development.

#### a. Teaching.

Effective teaching is the foundation for both the advancement and transmission of knowledge. The educational function of CHHS requires the appointment of faculty members devoted to effective teaching for its students. Besides a mastery of the fundamentals of a discipline, effective teaching involves a thorough familiarity with its various areas, problems, and continuing investigations; it necessitates staying abreast of the relevant literature and includes the ability and insight to organize, synthesize, and evaluate effectively the work of others.

#### Instruction.

Instruction may take many different forms and any instruction must be judged according to its central purposes. The following are examples of instruction:

- formal instruction of courses;
- curricular development and revision;
- supervising students placed in field, intern, practicum, or clinical experiences;
- mentoring students in honors, DIS, master's theses, doctoral dissertation, or other formal and informal settings; and

- professional development activity related to instruction.

Additionally, active participation in the assessment of learning outcomes is expected of all faculty members at the course, program, college, and university-wide levels.

The validation of quality of instruction may include: (1) Student Evaluations of Teaching (SETs), (2) peer evaluations, (3) self-assessment, (4) documentation of effective or innovative teaching, and (4) teaching recognition and awards.

Advising. Advising students is also an important faculty responsibility and a key function of academic citizenship. Student advising may include:

- overseeing course selection and scheduling;
- seeking solutions to conflicts and academic problems;
- working with students to develop career goals and identify employment opportunities; and making students aware of programs and sources for identifying employment opportunities;
- facilitating undergraduate and graduate student participation in professional activities (e.g. conferences, workshops, demonstrations, applied research); and
- professional development activity related to advising.

Advising also includes attendance at sessions (e.g. workshops, training courses) sponsored by the university, college, unit, or professional organizations to enhance a faculty member's capacity to advise.

Effective advising performance may be documented by: (1) the evaluation of peers or other professionals in the unit or college; (2) undergraduate or graduate student advisees' evaluations; (3) evaluations of faculty being mentored by the student; (4) number of undergraduate and graduate students guided to completion; and (5) receiving awards for advising, especially those involving peer evaluation

Individual units within CHHS have the responsibility to define appropriate teaching loads through unit policy and to determine and communicate individual faculty teaching loads annually through work plans. Teaching appointments must be reflected by level of effort spent in the activity related to teaching the course (preparation time, contact time, grading time, etc.), and justified annually in the work plans. A typical load for teaching one 3-cr lecture course in one semester is equivalent to 10% annually. Any adjustments to a teaching appointment (e.g., teaching multiple preparations, teaching unusually large classes, team-teaching, teaching studios or laboratories, intensive graduate or undergraduate student mentoring, technology-enhanced teaching, and others) must be documented in the work plan, and should be related to level of effort spent in teaching (preparation time, contact time, grading time, etc.). Workload allocation for other teaching activities should be related to level of effort spent in the activity.

#### **b. Research, Scholarship and Artistic Achievement.**

Research, scholarship and artistic achievement refers to creative intellectual work that is communicated and validated. The creative function of CHHS requires the appointment of faculty members devoted to research, scholarship and artistic achievement. CHHS promotes an environment that increases faculty engagement in interdisciplinary/interprofessional research, scholarship and artistic achievement. In its fundamental form, research, scholarship and artistic achievement must be validated through internal and external peer review or critique and disseminated in ways having a significant impact on the university community and/or publics beyond the university. Research, scholarship and artistic achievement are ongoing obligations of all tenure-line and tenured members of the faculty.

Research, scholarship and artistic achievement in CHHS take diverse forms and are characterized by originality and critical thought. While research, scholarship and artistic achievement certainly include research that is traditionally defined as original investigation or the scholarship of discovery, a faculty

member may also demonstrate and validate continuing sound and effective scholarship in the areas of teaching and learning, artistic creativity, integration, and implementation science. While these areas may overlap, these distinctions are made for purposes of defining work plans and for developing performance standards. Demonstrated excellence that is focused in only one of these areas is acceptable if it is validated and judged to be in the best interests of the institution and the individual faculty member.

Individual units within CHHS have the responsibility to adopt criteria for the evaluation of scholarship and creative activities. Each unit must also define appropriate scholarship loads through unit policy, and determine and communicate individual faculty teaching loads annually through work plans. Scholarship loads must reflect quantity and quality of effort spent in the activity and must result in products that demonstrate impact on the profession or discipline.

Evidence of scholarship and creative activity may include publications in professional venues—such as articles in professional journals, textbooks and book chapters, white papers, and research reports—as well as professional presentations; grant proposals and funded research; technology transfer; research awards; professional development related to scholarship; and other artistic and humanistic activities publicly recognized as representing knowledge or skills related to the discipline that significantly improves the lives of people in the community. Evidence for those engaged in externally funded research could also include the successful initiation, conduct and closeout of research contracts and grants as evidenced by timely reporting and budget management; and the completion of the research contract or proposal scope-of-work.

c. **Service.**

Effective service is the foundation for the application of knowledge within the health and human service professions and is essential to creating a sustainable college. The professional nature of CHHS requires the appointment of faculty members devoted to effective service within the college and university, and to the professions and communities we represent. As with teaching, effective service requires a mastery of the fundamentals of a discipline and necessitates staying abreast of the relevant literature.

- i. **Professional and Community Service.** Professional and community service includes, but is not limited to,
- unpaid extramural consultation and other professional services to individuals, organizations, and communities such as serving on boards, conducting peer reviews for journals, etc.;
  - teaching, training, certification, and other dissemination of information to the general public, practitioner, and specialty audiences;
  - presentations to community groups that utilize professional expertise; and
  - volunteer development and establishment/maintenance of relationships with private and public organizations.

Delivery mechanisms include distance education, service learning, cooperative education, technology transfer, noncredit courses, and publications. Most of the examples provided, such as distance education, are not exclusively professional or community service. Instead, they lie at the intersection of University Service and Teaching or Research, Scholarship and Artistic Achievement. A faculty member's work plan specifies where his or her service activities will be counted.

Individual units within CHHS have the responsibility to define appropriate professional and community service loads through unit policy and determine individual faculty loads through faculty work plans. The load allocated for professional and community service should be reflected by level of effort spent in the service activity.

Evidence of effective professional and community service activities may include, but are not limited to, (1) documentation of the process by which needs were identified and what steps were taken to deliver carefully planned and implemented programs; (2) numbers of individuals and types of audiences affected; (3) evaluation by participants in outreach activities; (4) other measures of

significance to the discipline/profession, state, nation, region and/or world; (5) quantity and quality of outreach publications and other mass-media outlets; (6) evaluation of the program's effects on participants and stakeholders; (7) awards, particularly those involving peer evaluation; (8) letters of commendation from individuals within organizations to whom service was provided; (9) service in a leadership role of a professional or scientific organization as an officer or other significant position; (10) demonstrated return on investment; (11) other evidence of professional service oriented projects/outputs.

- ii. University Service. CHHS seeks to create formal and informal organizational structures, policies, and processes that enable the college to be effective, while also fostering a climate of participatory decision making and mutual respect. University service is an essential component of the CHHS mission and is the responsibility of faculty members in all units. Service by members of the faculty to the university, college, school, and programs in their special capacities as scholars should be a part of both the work plan and annual performance evaluation.

University service, at a minimum, includes

- regularly attending university, college, and unit faculty meetings;
- attending college and school events; and
- representing the school and the college at university events.

University service also includes participation in unit, college, and university committees, and any involvement in aspects of university governance and academic citizenship. University, college, and school committee leadership roles are seen as more demanding than those of a committee member. Because faculty members play an important role in the governance of the university and in the formulation of its policies, recognition should be given to faculty members who participate effectively in faculty and university governance.

University service may also include mentoring junior faculty and serving as a faculty advisor to student organizations or clubs. University service can include clinical service, routine support, and application of specialized skills or interpretations, and expert consultancies. The beneficiaries of these forms of service can be colleagues and co-workers. University service may also include administrative activities that support scholarship, outreach and teaching. Examples include roles as program coordinators, clinical coordinators, grant administrators, etc. and their associated responsibilities.

CHHS has developed a Roles and Responsibilities Document that outlines the workload allocation associated with certain administrative roles. Individual units within CHHS have the responsibility to define other appropriate university service and leadership loads through unit policy and to determine individual faculty loads through faculty work plans. The load allocated for university service and leadership should be reflected by level of effort spent in the service activity.

Effective performance in university service and leadership may be documented by a variety of means. Examples include: (1) letters of support from university clientele to whom service was provided; (2) level of activity and accomplishment of the student organization advised; (3) serving as a member or chairperson of university, college, or unit committees; (4) receiving University service awards, especially those involving peer evaluation. Demonstration of effective administration may be documented by a variety of means. Examples include: (1) compliance with applicable rules, standards, policies, and regulations; (2) input by graduate and undergraduate students participating in the university program; and (3) input by collaborators, cooperators, funding agency and beneficiaries of the program. Documentation of effective administration may include evaluations by faculty and staff, as well as objective measures of performance under the incumbent's leadership.

- d. Faculty Practice. Faculty practice is recognized as a mandatory requirement for continuation of employment for faculty members in some of the professions housed in CHHS. When faculty practice is uncompensated and is required for a faculty member to maintain licensure or certification that is

required for continuation of employment, then it may be included in workload allocation. A faculty member's work plan specifies and justifies where his or her faculty practice activities will be allocated.

#### 4. Standard Annual Workload Allocation

The University of North Carolina requires that, in alignment with UNCW's designation as a comprehensive master's institution, the standard teaching load of a full-time faculty member at UNCW will be three 3-credit lecture courses per semester. In CHHS, this standard is managed at the college unit level. Thus, CHHS is required to demonstrate, on average, that each full-time faculty member teaches 9 credits per semester (understood for the year as six 3-credit lecture classes at 10% effort per class). Further, congruent to the CHHS mission, it is expected that each full-time tenure-line faculty member (tenured or non-tenured) be allocated 20% of his/her workload annually to engage in research, scholarship, and artistic achievement. [NOTE: This 20% assignment in research, scholarship, and artistic achievement is dependent on the faculty member's ability to maintain Research Active Status (see Section 5 below).] In general, this expectation is required within each CHHS school, though individual exceptions may be negotiated annually with the Dean by the School Directors.

In accordance with this policy, the minimum teaching load that must be assumed by each full-time CHHS faculty member is 6 credits (20% of workload effort) per year. Administrators and distinguished professors are required to teach a minimum of 3 credits (10% of workload effort) per year.

CHHS recognizes that each faculty member possesses unique strengths and abilities, and, thus, encourages School Directors to use flexibility in workload allocation in a manner that is (i) consistent with institutional, college, and unit missions; (ii) positions faculty members to be successful in the achievement of promotion and tenure within the university system; and (iii) capitalizes on the strengths of the individual faculty member.

a. Standard Workload for Full Time Tenure-Line (Non-Tenured) Faculty Members.

The following is considered as the standard workload for a full-time tenure-line (non-tenured) faculty member on a 9 month appointment:

<b>Responsibility Area</b>	<b>Standard Load</b>	<b>Range Possible</b>
<b>Teaching</b>	<b>65%</b>	<b>20%-65%</b>
<i>Instruction</i>	60%	
<i>Advising</i>	5%	
<b>Research, Scholarship and Artistic Achievement</b>	<b>20%</b>	<b>20%-60%</b>
<b>Service</b>	<b>15%</b>	<b>10%-20%</b>
<i>Professional &amp; Community Service</i>	5-10%	
<i>University Service &amp; Leadership</i>	5-10%	

The School Director has the flexibility to adjust individual faculty workloads from the standard within the listed ranges, in consultation with the faculty member and with approval from the Dean. It is expected that, on average, workload allocation within the school for tenure-line (non-tenured) faculty members will reflect the standard workload identified above in order to position them to be successful in the achievement of promotion and tenure.

**b. Standard Workload for Full Time Tenured Faculty Members.**

The following is recommended as the standard workload for a full-time tenured faculty member on a 9 month appointment:

<b>Responsibility Area</b>	<b>Average Load</b>	<b>Range Possible</b>
<b>Teaching</b>	<b>65%</b>	<b>10%-90%</b>
<i>Instruction</i>	<i>60%</i>	
<i>Advising</i>	<i>5%</i>	
<b>Research, Scholarship and Artistic Achievement</b>	<b>20%</b>	<b>5%-70%</b>
<b>Service</b>	<b>15%</b>	<b>5%-40%</b>
<i>Professional &amp; Community Service</i>	<i>5-10%</i>	
<i>University Service &amp; Leadership</i>	<i>5-10%</i>	

The School Director has the flexibility to adjust individual faculty workloads from the standard within the listed ranges, in consultation with the faculty member and with approval from the Dean. It is expected that, on average, workload allocation within the school for tenured faculty members will reflect the standard workload identified above in order to position them to be successful in the achievement of promotion (where applicable) and in order to meet UNC System and UNCW requirements regarding teaching load per faculty FTE.

**c. Standard Workload for Full Time Lecturers.**

The following is recommended as the standard workload for a full-time lecturer on a 9 month appointment:

<b>Responsibility Area</b>	<b>Standard Load</b>	<b>Range Possible</b>
<b>Teaching</b>	<b>85%</b>	<b>40%-90%</b>
<i>Instruction</i>	<i>80%</i>	
<i>Advising</i>	<i>5%</i>	
<b>Research, Scholarship and Artistic Achievement</b>	<b>0%</b>	<b>0%-20%</b>
<b>Service</b>	<b>10%</b>	<b>5%-40%</b>
<i>Professional &amp; Community Service</i>	<i>5%</i>	
<i>University Service &amp; Leadership</i>	<i>5%</i>	

The School Director has the flexibility to adjust individual faculty workloads from the standard within the listed ranges, in consultation with the faculty member and with approval from the Dean. It is expected that, on average, workload allocation within the school for lecturers will reflect the standard workload identified above.

Note: Workload allocation for EPA faculty with 10, 11, or 12-month appointments or for 12-month administrators should adhere to the minimum expectations for instruction during the academic year. Minimum expectations for other responsibility areas within the academic year and for summer will be negotiated with the School Director, approved by the Dean, and documented in the annual work plan.

**5. Research Active Status**

The engagement of tenure-line faculty in research, scholarship, and artistic achievement is vital to the achievement of the CHHS scholarship mission, whether it be in the scholarship of teaching (e.g., preparation of instructional materials), scholarship of application and integration (e.g., utilization of professional expertise to serve the community and the profession), or the scholarship of discovery (e.g., the conduct of research investigations that produce new knowledge for the discipline). As such, all tenure-line faculty are expected to engage in research, scholarship, or artistic achievement activity, with the standard expectation

of 20% per tenure-line faculty (as described above in 4.a and 4.b). In order to be assigned 20% load for the conduct of this work, however, the tenure-line faculty member must maintain Research Active Status by producing scholarly deliverables, inclusive of refereed publications, refereed grants and contracts, and refereed presentations. Each school must provide specific guidance (which has been approved by the Dean) as to the quantity and quality of the scholarly deliverables within a designated time window. All untenured tenure-line faculty must maintain Research Active Status. Tenured faculty, are also expected to maintain Research Active Status, however, exceptions may be negotiated annually with the Dean by School Directors. If a faculty member is unable to maintain Research Active Status, workload allocation in other responsibility areas will be increased commensurately to maintain a full workload. Additionally, as outlined in the Standard Annual Workload Allocation section, lecturers are not typically expected to engage in research and/or maintain Research Active Status, and as such, workload allocation in other responsibility areas will be increased relative to that of tenure-line faculty.

## **6. Effort Buyout for Grants and Contracts**

The engagement of faculty in grant and contract procurement is vital to the achievement of the CHHS mission and the long-term sustainability of the college and the institution. As such, faculty members may buy out effort as part of their grant and contract work. It is expected that faculty members will meet the minimum teaching and service standards as outlined above, as long as school and college workload standards can be met in accordance with UNCW and UNC System requirements. Effort buyout will adhere to the UNCW [Grant Buyout Policy](#).

## **7. Faculty Overload**

Overload assignments should be assigned carefully so that faculty do not become over-extended and can meet their assigned responsibilities in all areas. Overloads are considered supplemental to the workload of full-time faculty and must conform to the UNCW supplemental pay policy. Faculty may teach a maximum of a 10% overload per semester, with the concurrence of their School Director and the Dean. Overload assignments carry the expectation that all other responsibilities within the assigned annual workload are being fulfilled satisfactorily. Overload assignments will be included as part of the annual review in terms of quality of performance; quantity of effort will not be considered in the review since additional monetary compensation is provided. Tenure-line (non-tenured) faculty may not assume an overload in their first three years of employment. Overloads in the fourth through sixth years will be permitted only when the reappointment review indicates that the faculty member is clearly exceeding expectations for promotion and tenure. Exceptions to the above overload policies must be approved by the Dean.

## **8. Monitoring and Reporting Workload Allocation**

The Office of the Dean is charged by the Provost's Office to monitor faculty workloads to ensure that they are assigned in accordance with system, university, college, and school policies and procedures. To this end, in the summer prior to the beginning of the academic year, each School Director will submit the individual work plans for each faculty member, as well as an aggregate summary of the work plan for the school. The Dean will review and approve the plans. Updates to individual and aggregate plans will be submitted at the end of the fall semester. Final aggregate plans will be submitted at the end of the spring semester. The Dean will submit to the Provost an aggregate plan for the college at the end of the evaluation cycle.

## E. Procedure & Workflow

The following procedures are outlined for workload allocation within CHHS:

- a. Continuing faculty complete and submit work plans for the next evaluation cycle prior to annual performance evaluation. Newly hired faculty complete and submit work plans within the first month of employment.
- b. School Directors review, revise, and approve continuing faculty work plans during the annual performance evaluation process (or during the first month of employment for new faculty). School Directors prepare workload allocation summaries for the Dean's office. Approved plans for continuing faculty and workload summary are submitted to the Dean by June 15<sup>th</sup> (or by September 15<sup>th</sup> for new faculty).
- c. The Dean's office reviews faculty work plans and workload summaries and responds with questions or concerns within one month. Final work plans and workload summaries are approved by August 1<sup>st</sup>.
- d. Changes in individual work plans and workload summaries can be submitted to the Director and then sent to the Dean at the beginning and the end of the fall semester.

## F. Associated Form(s)



Work Plan  
Template.doc