

Circular 2014-01

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Faculty Work

2013

Two primary documents - *Indiana University Academic Handbook* and *IUPUI Supplement to the Indiana University Academic Handbook* - set forth [University university](#) and campus policies on the assignment of faculty work. Authority to set policies derives from the Board of Trustees. Although Faculty Council actions and campus administrative practices may come to be regarded as having the effect of policy, both are subject to review by the [Trustees-trustees](#) and may be affected by their actions. Nothing in this statement, therefore, should be construed as speaking on behalf of the [Trustees-trustees](#).

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An example of the [Trustees-trustees'](#) interest in faculty work relates to their request that the campuses develop teaching capacity models. Individual schools and/or type of appointment may vary in the average numbers of course sections taught per faculty member. However, the IUPUI average has been seen by [Trustees-trustees](#) to be six course sections per year, with allowances for individual assignments for research, service, and administrative responsibilities. Sections may be taught within a schedule that suits both faculty and school.

Academic freedom ensures that faculty can pursue their scholarly interests, but only insofar as they may meet their responsibilities to their unit. "The teacher and librarian shall have full freedom of investigation, subject to adequate fulfillment of their academic duties." (Academic Handbook) Faculty teaching responsibilities include regular attendance at classes, holding required office hours, assuring class coverage in the event of their absence, and securing approval from the [supervisor \(chair\) unit administrator \(chair, division head, etc.\)](#) for any planned travel that may impact teaching.

To respond to the [Trustees-trustees'](#) request, each school should have a faculty workload policy. The dean of each school in collaboration with the faculty is expected to develop and administer policies for faculty work that ensure that responsibilities are met and individuals are treated fairly and equitably. The campus [Chancellor-chancellor](#) and the [Chief-chief Academic-academic Officer-officer](#), in turn, are responsible for the effectiveness of deans in following this principle across the campus. Faculty should expect to receive, upon request, an explanation for work assignments. (If there has been consultation and shared understanding of faculty responsibilities, explanations will rarely be required.) The explanation must bear scrutiny by peers in the contexts of [University-university](#), campus, school, and departmental missions. Instead of setting forth detailed work rules, therefore, administrators in each unit are expected to interpret and apply general policies in accord with the special missions of their units.

~~The Academic Handbook contains two sections that pertain generally to the conditions of faculty work ("Academic Appointments" and "Conditions of Work"), but there is no specific policy or procedure regarding the assignment of faculty to particular activities. This responsibility rests with departmental chairs and school deans through authority delegated from the President to the campus Chancellor.~~

No one definition of an equitable faculty workload can meet the unique needs of each unit. Nevertheless, any definition of faculty workload should address research and creative activity, teaching activity, service expectations, and percentage of time/effort for these activities according to type of faculty appointment. For example, lecturers generally teach additional sections over what is taught by clinical faculty. ~~Clinical faculty members teach an additional section over what is taught by tenured faculty. Variation in teaching loads is based on the differing missions and work expectations related to research (only tenure track/tenured faculty have research in their direct mission, while scholarship in the area of excellence is required of all faculty members). Faculty often receive additional teaching load release time for funded research where funds are returned to the school to cover such expenses.~~ Each school should define faculty workload expectations for its needs and the faculty categories it employs. In response to questions raised by faculty members, the remainder of this statement deals with these areas.

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Research and Creative Activity

Each unit should address its research responsibilities and expectations in its mission statement and should periodically reaffirm or revise its statement. Although some faculty specialize in research or clinical assignments (as described in the Academic Handbook), tenured and tenure-track faculty are expected to combine teaching, research, and service at performance levels that their departmental and unit peers regard as satisfactory or better. It is assumed that tenure-related faculty members spend some time in research, appropriately balanced by teaching and service. If time spent in research will impinge on expectations of effort in the other two areas beyond what is considered normative, the faculty member must obtain the consent of the administrative officer. It is further assumed that faculty members' research relates to the unit's mission, documented by such measures of accountability as individual faculty annual reports ~~(FAR)~~.

Tenure-track faculty members are encouraged (in some schools expected) to actively seek and acquire the kinds of support needed to carry out and support their research programs. The type of support needed can vary across disciplines and faculty members. Some schools or programs expect faculty members to ~~obtain work towards~~ obtaining externally funded teaching/research grants and awards. These kinds of support would sustain a faculty member's research and scholarly activity, promote teaching graduate students, post-docs and fellows, nurture the research infrastructure of the university and generate high-skilled workforce for the Indiana and national economy. For a higher learning institution, the effort by the faculty to secure research support should be appropriately recognized by the University~~university~~.

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Although some schools have developed a practice that faculty have, as a right, one day a week for research, no [University-university](#) or campus policy states this assignment of time. Exceptions could be made by the chair or dean within the context of a faculty member's overall responsibilities with an expectation of demonstrated outcomes.

Teaching Assignments

Assigning faculty to specific courses is complex and reflects the best aspects of mutual responsibility between faculty and unit administrators. The process must be based on a faculty's collective responsibility. An individual has a right to fair and equitable treatment that withstands review among peers and within program expectations, however no absolute right exists with regard to assignment or effort distribution. Peers within a department should ideally reach consensus on assignments, but when consensus is not possible the chair must decide, using a pre-specified procedure for conflict resolution when appropriate.

It is always in the best interest of the unit to take advantage of individual faculty members' competencies, strengths, and interests when matching them to specific departmental needs. Chairs and deans must develop a schedule of classes each term based on curricular requirements, direct and indirect promises of course availability, and student needs. The process should involve the unit's faculty and derive from the faculty's authority to determine curriculum. In acting on behalf of the faculty to implement the curriculum, academic administrators should assume that their peers will scrutinize and review their judgments. They also are expected to give priority to unit needs and responsibilities over those of individual faculty, ~~who do not have an unrestricted right to teach a specific course where and when they want to teach it. In most situations, a~~ balance of interests ~~and programmatic needs is the goal to be~~ reached successfully in the shared process of planning teaching ~~activity~~activities.

Faculty workload is not equal to the number of hours spent in the classroom, reflecting the complexity of instruction in higher education today. Appropriate consideration of faculty workload must include various instructional modalities employed in addition to lecture – small group including problem-based learning, laboratory/clinical, and distance instruction including online. It is essential that workload assignments adequately manage individual instruction in the form of capstone experiences or graduate research mentoring. Therefore, it cannot be based solely on course numbers or credit hours.

In response to student and public needs, many academic units of IUPUI have accepted responsibilities to conduct classes at off-campus locations or on the internet (online). Faculty members, regardless of conditions when they began their appointment, take part in delivering courses by methods that the unit deems appropriate at a particular time, considering safe practices and precluding extenuating circumstances of individual faculty. This includes teaching online and at such places as off campus IUPUI learning centers, high schools, corporate or institutional sites, hospitals, shopping malls, other communities within commuting distances, and even other countries based on contracts. Units based in Indianapolis that have program responsibilities at Bloomington,

Columbus or other campuses may also involve off-campus assignments, subject to equity and fairness as affirmed by peer review, with possible exceptions for individual hardship.

A frequent issue involves levels of course work and subject areas. In some units, there is a presumption that faculty do not have to teach lower division courses and there may be concerns about eligibility to teach graduate courses. Occasionally, a department chair must ask an individual to teach a course or part of a course beyond the faculty member's expectations or specialization. Chairs and deans must make these decisions, but they also are accountable for the consequences to students and to faculty in providing fairness and equity. At an evolving university, faculty also are expected to grow as scholars and teachers with encouragement and tangible support from their chairs and deans.

Finally, the concept of peer review underlies policies associated with observing and assessing faculty performance. The academic world has long recognized the necessity and value of peer review in research, but has only recently embraced the process as an inherently valuable aspect of teaching and professional service. Although each unit should develop its own practices in regard to peer review, faculty must also acknowledge the obligation of chairs/deans or their delegates to observe colleagues' teaching activities, in both physical and online teaching environments. Peer review should be formative and allow sufficient opportunity for improvement of performance.

Ten Month Appointments

Faculty members who hold 10 month appointments may engage in compensated activities without accountability to the University-university during the two months they are not engaged in university business. Moreover, faculty should not be expected to participate in university activities when they are uncompensated but must act in accordance with university employee regulations.

Summer Teaching

Faculty members who teach during the summer are required to be actively engaged in course-related teaching activities from the first day of classes through the day grades are due. Because of the intensive nature of summer teaching and service, faculty teaching full-time in the summer should not expect to engage in remunerated outside activities. Each school should have a summer teaching policy that also addresses service expectations, such as student advising. Before undertaking outside activities, even continuing activities begun during the academic year, faculty should establish expectations in advance of summer work with the chair or dean. Ten-month faculty may engage in summer teaching as an additional teaching load. When this occurs, faculty members taking part in paid outside activities require prior approval of the faculty member's chair and dean as provided in school-specific policies. Faculty should be encouraged to balance summer teaching with requirements for promotion and tenure.

Service

University, campus, school, departmental, and community service responsibilities should be determined equitably among faculty members. Service activities should be coordinated with faculty preferences, areas of expertise, and school and organizational needs. In addition, individual administrative units may have policies concerning service expectations of particular academic appointments (e.g. reduced service expectations for untenured faculty).

Twelve Month Appointments

Outside Work

This section addresses several policies associated with faculty members' obtaining compensation from outside sources. Faculty members with 12-month appointments are entitled to a one-month vacation (generally interpreted as 22 working days — Academic Handbook, Appendix A). They are expected to devote their primary professional time and energy to carrying out their administrative teaching, research, and service responsibilities of the university. Faculty members may not, however, engage in remunerated outside work in accordance to university policies during the entire 12-month period, except only as permitted during the academic year (see the Academic Handbook - Outside Activities and Extra Compensation). A faculty member will report outside work to the appropriate unit administrator (chair, division head, etc.) outside work and will insure that such activities does not interfere with their primary professional responsibilities. Moreover, t

The scheduling of vacations and assigning of faculty time during semester breaks must be coordinated are mutual responsibilities with chairs and deans, not a unilateral right of faculty. If advising or other student services ordinarily provided by faculty are required during a vacation or semester break, faculty may be asked to provide these on a fair and equitable basis. Chairs and deans are obligated to know how 12-month faculty members spend their time, and these faculty members are responsible for reporting that information to their chairs and deans.

Faculty Leave of Absence

Leaves of absence without pay are described in the Academic Handbook ([Leave Without Pay](#)). Subject to approval of school and campus administrative officers, leaves of absence without pay can be approved that permit a faculty member to engage in remunerated activities. On occasion and for reasons beneficial to the unit, a leave may, with the dean's and Chief Academic Officer's chief academic officer's approval, be extended beyond a year. Such leaves are not a right and are not guaranteed by this document.

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~~Although Faculty may engage in outside remunerated activities are as listed and described in the Academic Handbook (Outside Activities and Extra Compensation) that do not involve leaves of absence, taking part in paid outside activities requires prior approval of the faculty member's chair and dean as provided in school-specific policies. Faculty also must report periodically to their chair and dean on their continuing activities, which must remain compatible with the unit's mission and continue to enhance the faculty member's effectiveness as a member of the unit.~~

Initial Faculty Appointment

~~Conditions at time of initial appointment vary for mMany faculty members at IUPUI were appointed at times when conditions were different in many ways, and differences will continue in the years ahead. Other faculty received letters of appointment that may have specified certain conditions of work, such as number of courses to be taught or type of staff support. In either case, faculty may feel they have a "contract" with the University regarding conditions of work. Letters of appointments, Although not "contracts," the Academic Handbook and the IUPUI Academic Handbook Supplement contain policy statements on which faculty can rely and for which the University and campus must be responsible. While letters of offer must be reviewed carefully and while the Universityuniversity, campus, and school are each committed to honoring them, faculty must recognize that conditions of work can change. Individual faculty member should expect to contribute proportionately to current and emerging program departmental or, school-norms for the faculty collectively. In some units, for example, research and/or teaching expectations were lowdiffered when some faculty members were initially appointed. Accordingly, those faculty members should expect it would be unreasonable to expect or to require these colleagues to contribute to the school's research mission to the same degree as more recently appointed colleagues. However, it would be reasonable to expect them to accept added teaching or service responsibilities that would bring their overall level of contribution to the program, departmental or school norm. As noted earlier, the balance of teaching, research, and service, as reflected in assignments, must be contingent on many factors, where all faculty are expected to contribute. When the University awards tenure to faculty, they in turn accept a responsibility to grow and change to meet evolving needs. Faculty members have a right to expect their colleagues to develop new competencies that keep departments and schools current. Department chairs must be able to rely on the support of all faculty when encouraging individuals to develop competencies needed for the unit's vitality.~~

Conflicts of Interest

Faculty workload shall be consistent with the policies on Conflict of Interest and Conflicts of Commitment Involving Outside Professional Activities as stated in the Academic Handbook ([Policy on Financial Conflicts of Interest in Research](#) and [Policy on Conflicts of Commitment Involving Outside Professional Activities](#)).

Faculty Complaints

Individual faculty have the right to request a hearing before peers with regard to the decisions of deans and chairs through school grievance procedures and, if not resolved on that level, through the Faculty Boards of Review process (see the Academic Handbook, which says Boards shall consider complaints of faculty concerning, among other things, "the nature or conditions of work"). Similarly, an appeals process is provided for contesting administrative decisions with regard to conflicts of interest. Peer review by a Faculty Board of Review helps assure faculty that their administrative officers will act in accord with the best interests of the unit, campus, and [University university](#) and will exercise their authority fairly and equitably.

Faculty who disagree with work assignments should first communicate this to the person making the assignment and, if unsatisfied, to that person's superior. Schools have created procedures or committees to address grievances, and this immediate recourse, if available, is likely to be most satisfactory. If there is no administrative remedy, then the faculty member should request a hearing by a Faculty Board of Review to avoid any possibility of misconduct charges. ~~Even while~~ While protesting, the faculty member should meet assigned duties and responsibilities. If there is concern about adverse consequences of delay, the faculty member should seek a Board of Review as quickly as possible, while still ~~accepting~~ carrying out assignments.

Summary

Through collaborative decision-making involving the faculty whom they are charged with leading, deans and chairs have the authority to assign individual faculty to specific duties that have been identified and accepted explicitly or implicitly by agreement on mission and collective responsibility. Responsibility and authority for management and use of [University university](#) resources are inherent functions of administrative officers, in equal collaboration with faculty and according to the principles of fairness and equity.