FULL-TIME FACULTY WORKLOAD POLICY
DEPARTMENT OF MARINE AND ENVIRONMENTAL SCIENCES
NORTHEASTERN UNIVERSITY, COLLEGE OF SCIENCE
APRIL 2018

Overview

Annual workload for all full-time Marine and Environmental Science (MES) faculty members reflects the objectives of the Department of MES while maintaining alignment with the overall mission and goals of the College of Science and of the University. To this end, dedicated efforts to promote a mechanistic understanding of principles in the marine and environmental sciences are needed to address the major challenges that our world faces with respect to sustainability, biodiversity, global change, food resources, and pollution. As a department, we are therefore dedicated to:

- Creating knowledge that advances the fundamental understanding of diverse disciplines in the marine and environmental sciences and addresses critical societal needs.

- Developing the scientific and technical skillsets for the next generation of marine and environmental scientists (i.e., our students and postdocs), with an emphasis on equipping them to excel in rapidly changing, competitive environments.

- Delivering rigorous undergraduate programs that integrate experiential learning, classroom learning, cooperative education opportunities, and scientific research, and that are capable of evolving to reflect current scientific knowledge and workforce needs.

- Offering internationally recognized graduate programs that foster leadership in research, education, and service through challenging coursework, scientific discovery, communication of research findings, and expansion of interdisciplinary knowledge.

Annual workload for each full-time faculty member is allocated by percentages of professional time devoted to specific activities in the following categories: (1) teaching and education (collectively referred to hereafter as "teaching"); (2) research, scholarship, and creative activities (collectively referred to hereafter as "research"); and (3)service and community outreach (collectively referred to hereafter as "service").

The allocation of professional time devoted to these categories varies based upon the type of position a faculty member holds.

The following 2 target workload distributions best describe the different faculty positions that presently exist in the MES Department (T/TT = tenured/tenure-track; NTT = non-tenure-track):

T/TT: 54% Research   36% Teaching   10% Service
NTT: 0% Research   100% Teaching   0% Service

Adjustments to these workload distributions will be made for parental leaves, family leaves, maternity/adoption leaves, medical leaves, sabbaticals, or similar situations in accordance with the appropriate University and College policies.

Preparation of Annual Workload Distribution Reports
Each faculty member shall prepare an Annual Workload Report, in conjunction with their annual merit report. The purpose of this Annual Workload Report for T/TT faculty is to quantify workload distribution with respect to a set of minimum and maximum thresholds in order to identify major discrepancies between target and actual workload distributions, and also to establish a procedure for remedying these discrepancies. The purpose of the Annual Workload Report for NTT faculty is to document their actual workload distribution. Pending future policy from the College of Science, teaching is the only workload category of NTT faculty, and there is currently no mechanism for them to request an adjustment to their target workload distribution.

The Annual Workload Report for all full-time faculty shall consist of two sections:

(1) <u>Workload distribution spreadsheet</u>: Completion of a spreadsheet that assigns point values for faculty workload in all relevant categories (research, teaching, service) pursuant to the activities and weightings described in Tables 1 and 2. Templates for these spreadsheets shall be distributed by the Department Executive Committee and/or Department Chair when the Merit Review Templates are distributed. These spreadsheets shall include all possible activities (and corresponding points) in each category, as well as thresholds for minimum workload (i.e., for identifying workload underages) and maximum workload (i.e., for identifying workload overages).

(2) <u>Workload distribution narrative</u>: Completion of a brief (i.e., 1 paragraph) narrative identifying: (i) underages (relative to minimum point thresholds) or overages (relative to maximum point thresholds) within each of the relevant workload categories (research, teaching, service), (ii) point overflow from eligible category(ies) with workload overages to eligible category(ies) with workload underages, and (iii) any requests, including a brief rationale, for faculty-initiated requests for adjustments to target workload distribution due to workload overages.

Although the Annual Workload Report will use categories and points similar to those used in the faculty's Annual Merit Report, the Annual Workload Report is explicitly not an assessment of merit (which is the purpose of the merit review), but is instead a tool for assessing whether the target workload distribution (i.e., that associated with a faculty member's job description) accurately reflects their actual workload distribution. This document also describes the procedures for Department- and T/TT faculty-initiated adjustments to a TT/T faculty member's target workload distribution.

Review of Annual Workload Reports
Each full-time faculty member's Annual Workload Report shall be reviewed annually by the Department Executive Committee and Department Chair, in conjunction with the Department Annual Merit Review process.

Adjustments to tenured faculty's target workload distribution due to workload underage
In any given year, should a tenured faculty member's workload fall below the minimum points for any category pursuant to their target workload distribution (Table 3), and if that underage is not offset by overages above the maximum points in either (or both) of the other two categories for that faculty member (Table 3), then the faculty member shall receive notice of the underage from the

Executive Committee and Department Chair as part of their annual evaluation. If the faculty member receives notice of workload underages in their annual evaluation for four consecutive years, then the Department Executive Committee and Departmental Chair may recommend, via written correspondence with the faculty member, adjustments in target workload distribution for that faculty member. Four years is deemed the minimum interval needed to eliminate the effects of natural cycles in funding beyond the faculty member's control and also to allow sufficient time for the faculty member to remedy workload underage(s) identified in their prior Annual Workload Reports. If the faculty member disagrees with the adjusted workload recommendations made by the Department Executive Committee and Department Chair, that faculty member has the option to file an appeal for consideration by the Department Executive Committee and Department Chair, who will render a decision on the adjusted workload recommended for that faculty member. The outcome of this appeal does not preclude the faculty member from taking additional steps as defined in the Faculty Handbook.

Procedure for returning to original target faculty workload distribution
In the case that a tenured research faculty member with an adjusted workload structure increases their workload in a given year with respect to the category(ies) that were previously below the minimum point value pursuant to their original workload distribution (Table 3), then the faculty member will have the option to return to their original workload distribution at the start of the next academic year following submission of their Annual Workload Report documenting that they have met the minimum workload points for each category pursuant to their original workload distribution in that year. The faculty member shall exercise this option by submitting written notice thereof to the Department Executive Committee and Department Chair.

Tenured faculty-initiated request for adjustments to target workload distribution
Tenured faculty members may also petition the Executive Committee and Department Chair to adjust their target workload structure in the event that their workload points have exceeded the maximum threshold (Table 3) for a given category in a given year as reported in their Annual Workload Report. The Department Executive Committee and Department Chair will provide a written response to the faculty-requested adjustment in target workload distribution within one month of receiving the request.   If the faculty member disagrees with the adjusted workload recommendation made by the Department Executive Committee and Department Chair, that faculty member has the option to file an appeal for consideration by the Department Executive Committee and Department Chair, who will render a decision on the adjusted workload requested by that faculty member. The outcome of this appeal does not preclude the faculty member from taking additional steps as defined in the Faculty Handbook.

NTT faculty-initiated request for adjustments to target workload distribution
Because teaching is the only workload category for NTT faculty, there is currently no mechanism for them to request an adjustment to their target workload distribution. This section is subject to change if inconsistent with future policy from the College of Science regarding workload distribution of NTT faculty.

Policy regarding adjustments to target workload distribution for tenure-track-faculty
All TT faculty members will, with rare exception, have a fixed workload structure for their entire pre-tenure period that is exempt from adjusted workload distributions arising from workload

underages. TT faculty members may also be granted two course releases as part of their recruitment package. These exemptions are intended to afford the TT faculty the flexibility and freedom needed to meet the high standards for achieving tenure at Northeastern.

Criteria for reporting workload distribution
Research category
Scientific research is the primary activity of T/TT faculty within the Department of MES. Although obtaining funding for research is an important component of maintaining an active scientific research program, it is recognized that scientific research takes the form of a wide range of activities and products. It is further recognized that all T/TT faculty may experience intervals of time in which they are not able to obtain external research funding yet are still able to maintain an active research program that contributes to scientific knowledge.

A list of research activities and associated point values for tabulating workload distribution in faculty Annual Workload Reports is provided below. Point values assigned to each workload activity were derived from the MES Faculty Annual Merit Review policy.

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Table 1. Research activities and associated point values for tabulating workload distribution.

Research Activity	Points
Publications - peer reviewed (1st, 2nd, last author)	15
Publications - peer reviewed (co-author)	7
Publications - non-peer-reviewed (1st, 2nd, last author)	8
Publications - non-peer-reviewed (co-author)	4
Books (author)	50
Books (edited)	25
Sponsored research funding - external ≥ $100k - (sole)	18
Sponsored research funding - external ≥ $100k - (lead)	15
Sponsored research funding - external ≥ $100k - (co-PI)	15/n or 5
Sponsored research funding - external < $100k - (lead)	5
Sponsored research funding - external < $100k - (co-PI)	2.5
Sponsored research funding - internal (incl. cost-sharing)	4
Pre-proposal (lead)	6
Pre-proposal (co-PI)	3
Proposal invited after pre-proposal (lead)	6
Proposal invited after pre-proposal (co-PI)	3
Full proposal -int/ext (lead)	8
Full proposal - int/ext (co-PI)	4
Patent application	8
Patent award	15
License	10
Undergraduate researcher supervision (per trimester)	0.5
Masters researcher supervision (per trimester)	1
PhD researcher supervision(per trimester)	2
Postdoctoral researcher (per trimester)	2
Financial support of graduate student or postdoc (per trimester)	2
Editorial duty (peer-reviewed journal)	6
Grant panel (per panel)	12
Ad hoc peer-review (manuscript, proposal; max 20 pts)	2
Graduate student thesis committee membership (per student)	0.5
Presentation of research - plenary (i.e., keynote)	6
Presentation of research - invited	3
Presentation of research - external	2
Presentation of research - internal	1
Active maintenance of research weblog ('Blog') or website	1

Note: Sponsored research funding includes any and all active funding in support of research, including federal funding, non-federal funding, and private funding. Awards on no-cost extension are considered active funding in terms of workload distribution because they require the same amount of work (in terms of research effort, reporting, etc.) as grants that are not on no-cost extension. However, funding that has been officially placed on hold with the funding agency (e.g., due to PI leave of absence, logistical delay, etc.), shall not be assigned points while that funding is on official hold.

Teaching category

Teaching is a critical component of every faculty position within the Department of MES. It not only fulfills our professional duties as faculty at a tuition-driven institution, it also provides a vehicle for faculty to translate primary scientific research to the younger generations that will ultimately be responsible for solving society's challenges. All teaching activity shall be assigned 5 points per semester hour of teaching. For example, a 4 semester hour course taught for 1 semester will receive 20 points. The amount of preparation time and class and/or field time required of faculty varies considerably among the lab sections for different courses. Therefore, points for lab sections will be determined by the Department Chair and the Executive Committee, in consultation with the faculty member during the annual review process. All tenured faculty

members have the option to 'buy out' of teaching pursuant to college policy. The Department Chair or Dean can also grant course releases to tenured research faculty whom have been given a disproportionately large service load, although this request (if initiated by the faculty member) should be made through the procedure described above (*Tenured faculty-initiated request for adjustments to target workload distribution*).

Service category
Service to the Department, College, and University is a critical component of all T/TT faculty positions at Northeastern. Not only does it advance the Department, College, and University through direct faculty contribution, it also provides a vehicle for faculty to engage and keep current with their employer on issues outside the scope of their typical research and teaching activities. In addition to serving on committees, all full-time T/TT faculty members are expected to attend and actively participate in all Department faculty meetings and retreats. All eligible tenured faculty are expected to attend and participate in all Department Tenure and Promotion Committee review meetings when called. All T/TT faculty are also expected to participate in all departmental activities, including self-studies and external reviews, faculty searches, colloquia, graduate student recruitment events and defenses, and the like. These efforts are critical to building and sustaining the Department in all areas of activity. All NTT faculty are strongly encouraged to attend and actively participate in all monthly Department faculty meetings and, to the extent appropriate, other departmental activities.

A list of service activities and associated point values for tabulating workload distribution in faculty Annual Workload Reports is provided below. Because the MES Merit Review Policy does not explicitly list eligible service activities and their corresponding point values, creation of the workload policy required establishing *de novo* service activities and associated point values.

Table 2. Service activities and associated point values for tabulating workload distribution.

Service Activity	Points
Committee chair (per year; adhoc or permanent; college/university)	15
Committee member (per year; adhoc or permanent; college/university)	10
Faculty meeting/retreat attendance (per meeting)	0.5
Presentation to donors, trustees, or college/university (per presentation)	2
Chair of Tenure and Promotion Committee	20
Associate Director of Marine Science Center	20
Associate Department Chair	20
Department Graduate Program Director	20
Department Director of Undergraduate Studies	20
Serving as the chief advisor to Departmental major (per major)	10
Presentations to student groups (max 1 pt)	1
Faculty advisor to student group (max 1 pt)	1
Student advising (non-course related; e.g., career advisement) (max 1 pt)	1
Advising senior projects and theses (max 1 pt)	1
Undergraduate thesis committee membership (max 1 pt)	1
Departmental events for undergraduates (max 1 pt)	1
Providing recommendations for students by letter or phone (max 1 pt)	1
Providing teaching evaluations of colleagues (max 1 pt)	1
Outreach (e.g., MSC open house, community engagement; per event; max 2 pts)	1

Minimum/maximum thresholds for target workload distribution of T/TT Faculty
To establish guidelines for evaluating major discrepancies between target and actual workload distributions for T/TT faculty within the Department of MES, minimum and maximum point thresholds for target workload categories (i.e., research, teaching, service) must be established for comparison against actual reported workload. Minimum thresholds in point values were established by estimating the points associated with the absolute minimum workload activities associated with each of the categories. It should be noted that these threshold minima do not represent the mean, expected, or target workloads for a given category for a given faculty position. Instead, they represent the very minimum expectation, below which a Department-initiated adjustment to workload may be merited. Maximum point thresholds, in contrast, were established by estimating the maximum workload activity expected of a faculty member, above which point-overflow to other categories (i.e., to offset those with underages) in the Annual Workload Report would be permitted and a faculty-initiated adjustment to workload would be considered.

The minimum point thresholds were estimated for T/TT Faculty by considering various hypothetical workload scenarios that would meet the minimum workload activities for each category. The minimum point threshold for the research category was estimated at **60 research points** from, for example, 2 peer-reviewed publications (1 lead + 1 co-author; 22 pts), 1 external research grant (lead; 15 pts), 1 external research proposal (lead; 8 pts), 1 external presentation (2 pts), 3 ad hoc manuscripts and/or proposal reviews (6 pts), mentoring 1 PhD student for 3 trimesters/yr (6 pts), and mentoring 1 undergraduate researcher for 2 trimesters/yr (1 pt). The minimum point threshold for the teaching category was estimated at **40 teaching points** from, for example, 8 semester hours of teaching (8 semester hrs x 5 pts/semester hr). The minimum point threshold for service was estimated at **25 service points** from, for example, serving on 2 committees (20 pts) and attending all faculty meetings/retreats (5 points).

Although these scenarios represent examples of the absolute minimum expected activity, the specific activities used in the estimation of the minimum point threshold are not meant to define the exact workload activities needed to satisfy minimum workload within a given category. Instead, because it is recognized that research and service take the form of many different types of activities and outcomes, any combination of activities within each category can be used to meet the minimum point thresholds for each category. Teaching, on the other hand, takes the form of only one type of activity—i.e., course semester hours—assigned by the Department Chair. As such, the formula for calculating teaching workload minimum and maximum is the same and is fixed at 5 points per semester hour, with semester hours for labs determined by the Chair and the Executive Committee. The maximum workload thresholds for the research and service categories were calculated as double the workload minima for those categories.

Because the target workload distributions of Tenured faculty in MES may be adjusted from the standard distribution of 54% research – 36% teaching – 10% service, the minimum and maximum point thresholds used in the Annual Workload Reports shall be calculated for each workload category on a *pro rata* basis pursuant to the formulae presented in Table 3.

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Table 3. Target workload distribution (%) for Research T/TT faculty in MES and corresponding minimum and maximum workload thresholds for research, teaching, and service categories. Also included are the *pro rata* formulae for calculating minimum and maximum point thresholds for Research T/TT faculty whose target workload distributions deviate from the standard distributions defined in the top row. Two examples are shown to illustrate the *pro rata* calculation of minimum and maximum point thresholds for Research T/TT faculty with nonstandard workload distributions.

		Research	Teaching	Service
Research TT/T	Target workload distribution (%)	*54%*	*36%*	*10%*
	Minimum points (for workload redistribution)	60	40	25
	Maximum points (for point overflow or workload redistribution)	120	40	50
Formulae for adjustments	Adjusted target workload distribution (%)	*X%*	*Y%*	*Z%*
	Minimum points (for workload redistribution)	(X/54) x 60	(Y/36) x 40	(Z/10) x 25
	Maximum points (for point overflow or workload redistribution)	(X/54) x 120	(Y/36) x 40	(Z/10) x 50
Example 1	*Adjusted target workload distribution (%)*	*44%*	*36%*	*20%*
	Minimum points (for workload redistribution)	*49*	*40*	*50*
	Maximum points (for point overflow or workload redistribution)	*98*	*40*	*100*
Example 2	*Adjusted target workload distribution (%)*	*0%*	*90%*	*10%*
	Minimum points (for workload redistribution)	*0*	*100*	*25*
	Maximum points (for point overflow or workload redistribution)	*0*	*100*	*50*

Faculty with Joint Appointments

Workload distribution of faculty with joint appointments in other departments throughout the College and University, but whose tenure lines are within MES, shall be evaluated using the same criteria and following the same procedures for faculty that are 100% within the Department of MES, as set forth in this document. All work activity for those faculty shall be included in their annual reporting of workload distribution, regardless of the department in which that work was carried out. The workload distribution of faculty with joint appointments in MES whose tenure lines are not within MES shall be evaluated by the department that holds their tenure line and not by MES.

Amendments to MES full-time faculty workload policy

The Department of MES Full-time Faculty Workload Policy will be reviewed annually (or as otherwise needed) by the Department Executive Committee and Department Chair. Should the Department Executive Committee, during its annual review of the Department of MES Full-time Faculty Workload Policy, deem that a modification(s) is needed to the policy, the modification(s) will be brought forth for full discussion and vote at the next monthly departmental faculty meeting. If the motion is approved by majority vote, the modification will be added to the policy, and the revised policy will be forwarded to the Dean of the College of Science and the Office of the Provost for consideration. If approved by the Dean and the Provost, the modification will be added to the workload policy with the date of modification, and the updated policy will then be electronically distributed to all MES faculty members, the Dean of the College of Science, and the Office of the Provost.

Dissemination of workload policy document

The MES Full-time Faculty Workload Policy will be distributed annually (via electronic format) to all full-time faculty members at the start of each calendar year in order to maintain synchronicity with the annual merit review cycle. The document will also be made available to full-time faculty members by written request through the MES Main Administrative Office. The Department Chair will communicate the following year's workload distribution to

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each full-time faculty member in their annual review letter. A current copy of the Department of MES Full-time Faculty Workload Policy will also be provided to the Dean of the College of Science and to the Office of the Provost at the start of each calendar year.

Date of approval by the Department: _____May 10, 2018_____

Date of next policy review: __April, 2019____ _____
Date of approval of the unit's Dean: _____October 9, 2018_____

Date sent to Provost's Office:_____October 9, 2018_____

Date of Provost's approval: _____October 18, 2018 ___ _____ ___

Checklist for Unit Workload Policy Documents

Each unit's chairperson and/or dean should initial each point on the checklist. By doing so, he or she attests that the full time faculty workload policy document satisfies each of these requirements.

_____ Document is consistent with published College and University policies.

_____ Document clearly reflects the goals/aspirations of the unit as these relate to workload.

_____ Document clearly defines the types of activities that constitute each of teaching, research/scholarship/creative activities/professional development, and service for the unit.

_____ Document describes the different types of full-time positions in the unit.

_____ Document clearly defines the teaching, research/scholarship/creative activities/professional development, and service expectations for the different types of appointments.

_____ Document describes all unit policies related to workload for full time faculty.

_____ Document describes criteria in which workloads may be modified, including pre-tenured minimum course reductions, family leaves, maternity/adoption leaves, and medical leaves.

_____ Document states how frequently the workload policy document will be reviewed.

_____ Document indicates where and how the unit's current workload policy document can be found.

_____ Document indicates where and how the workload assignments for each full time faculty member can be found.

_____ Document describes the process for faculty to address any concerns with their workload in the unit.

_____ Document indicates date of approval, any subsequent modifications by the unit, and anticipated date of next review.

_____ Document indicates date of approval of the unit's dean.

_____ Document indicates when it was sent to the Provost's Office to be included in the master list of policies for all units, and date of approval of the provost.

If the unit has one or more faculty with joint appointments in other units:

_____ Document defines how the workload policy changes for faculty members with an appointment of less than 100% in the unit, include impact of tenure home.

_____ Document describes how the unit will coordinate workload policy decisions with other units for faculty members with joint appointments, and how differences in workload expectations across units will be handled.