

UNIVERSITY OF MINNESOTA

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REPORT OF THE FACULTY WORKLOAD TASK FORCE

Carl Adams  
Mercedes Ballou  
Victor Bloomfield  
Sara Evans  
Bill Gerberich  
Anne Hopkins, ex officio  
Karen Seashore Louis  
Dan Svedarsky

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Introduction  
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For several important reasons, the University community has been prompted to define and clarify the expectations of faculty effort at the University of Minnesota. One reason is that the pressure to make the best use of the faculty's time is increasing. Demands for teaching, research, and service/outreach output are generally growing while available resources fail to keep pace with inflation. Another reason is that, in this time of economic difficulty and constricted budgets, the general public is demanding more accountability from tax-supported institutions. Most importantly, our mutual responsibilities as a community of scholars who support the tripartite mission of the University require us to develop the means to guide our efforts. This responsibility has its roots in the "moderate communitarianism" philosophy (Etzioni, 1990). This philosophy is juxtaposed with a more individualistic philosophy, emphasizing individual faculty rights (Rawls, 1971), that some see as underlying other University policies such as the Tenure Code and the Policy on Academic Freedom. A balance between rights and responsibilities is needed. Faculty rightly believe that society has entrusted them with a major responsibility to create, organize, disseminate and apply knowledge for the common good. As a professional community, the faculty must reward society's trust by ensuring the development and application of appropriate effort principles. Failure to do so simply invites the imposition of inappropriate bureaucratic mechanisms. In response to these concerns, the Faculty Consultative Committee (FCC), in consultation with the University administration, appointed the University Workload Task Force on July 15, 1992, with the general charge of developing proposed faculty effort principles by mid-September.

As the report below details, the Task Force has chosen to address effort clarification by specifying a process of individual effort determination. This process is guided by a set of principles that applies to all University faculty. Additional sets of principles with increased specificity apply to various divisions of the University. The proposed process emphasizes decentralization in recognition of the diverse character of the University.

As a starting point in this project, the Task Force reviewed studies and relevant legislation from University researchers and administrators in other states where faculty effort issues have recently been considered. Additionally, the Task Force met with University colleagues familiar with the issues of effort determination and reporting. Based on these inputs, two distinct and important components of oversight related to faculty effort were identified. One deals with establishing good administrative practices and procedures to ensure the development of policies to guide faculty effort. The other ensures the availability of hard data on faculty activities and accomplishments. Both approaches are needed.

Defining faculty effort expectations and keeping better records of effort and accomplishments will have several salutary effects. They will:

- \* Help clarify variations in missions among units of the University and facilitate the development of a consensus regarding those missions within the University community.
- \* Link individual activities more clearly to the priorities of the University community.
- \* Facilitate the self regulation of the faculty.
- \* Improve the University's ability to relate faculty effort to components of its tripartite mission.

The Task Force recommends that the University community adopt the administrative practices and procedures outlined in this report. This includes the statement of principles and the effort determination process. The list of faculty effort elements is seen as an evolving document that is the joint responsibility of the Faculty Consultative Committee and the Senior Vice President for Academic Affairs. We also recommend very prompt University attention to developing a faculty activities and accomplishments database.

We have argued that the topic of faculty effort is very important and it is clear that the brief time available to the Task Force makes a definitive treatment of this important and complex subject impossible. We strongly urge members of the University community to adopt an incremental approach to this important topic. From this perspective, adoption of the principles, process, and database recommendations presented below is just the first step in the development and reporting of faculty effort. Given the experiences of other universities, the Task Force encourages all members of the University community to engage in the process of building on these initial steps as a way of ensuring the evolution of an effective system for dealing with faculty effort.

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Principles  
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The following principles are to be used to develop a clear understanding between each faculty member and the appropriate University department/college/unit regarding expected effort. The process envisioned is outlined in the next section. A key concept is the development at one or more levels of a cascading set of principles. Each set of principles is consistent with those at the more general level but is more specific to the local situation. None of the developed principles is intended to conflict with existing University policies and procedures such as the Tenure Code and the policy on academic freedom.

- \* As units vary in their contributions to the University's tripartite mission of teaching, research, and service/outreach, so will the proportion of effort contributed by individuals to each component of the overall mission vary. Each individual is expected to develop his/her intellectual efforts in accordance with his/her individual competencies and the needs of the unit in fulfilling its mission.
- \* All faculty members are expected to conduct some work that supports each of the three major mission components. As faculty follow normal career life cycles, substantial shifts may occur in the proportion of effort devoted to each of the major components. For example, some departments reduce the service/ outreach and administrative obligations of their non-tenured faculty so that they can devote additional time to research in order to reach the threshold for tenure.
- \* In addition to undertaking activities that support the University's tripartite mission, faculty are also expected to take part in administrative and governance activities that are needed.
- \* Teaching at research universities necessarily includes training in research, clinical, and artistic methods. Regular classroom instruction is not effective in meeting some of these needs especially in professional and post baccalaureate programs. Much of this training must be accomplished through informal one-on-one mentoring.
- \* For pay and promotion purposes, faculty will continue to be evaluated on the significance and magnitude of their accomplishments rather than on how hard they work.

- \* Faculty efforts must, in the aggregate, meet the workload of their unit and must be responsive to the mission of their unit. Expectations for unit workload must be commensurate with available resources. With appropriate consultation, academic officers (e.g. deans or department chairs) must set relevant effort guidelines and communicate them to the faculty as a group and individually.
- \* Accessibility to students, colleagues, administrators, and the public requires that appropriate time must be spent at the faculty member's University office. It must be recognized, however, that many faculty activities are appropriately carried out at sites away from the faculty's University offices ( e.g. libraries and archives on campus and elsewhere, research laboratories, home offices, industry sites and professional meeting locations).
- \* Both the individual faculty member and the University have a responsibility to maintain the individual faculty member's currency in his/her field of knowledge which is related to his/her unit's mission.
- \* The faculty member and his/her appropriate administrator must share a clear understanding of the effort expected of the faculty member and that understanding must be reviewed periodically. This understanding should be developed in a timely fashion so that faculty can adequately plan their activities.
- \* As professionals, faculty are responsible for establishing a daily work schedule that allows them to meet their teaching, research, service/outreach, administration and governance obligations. Persons of talent and energy will have difficulty accomplishing all that is expected of them within the limits of a 40 hour week. Numerous national and local studies confirm that a typical faculty member works approximately 55 hours per week.

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Effort Determination Process  
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In the university environment, there is a fine line between the institution's need to define how the institution will carry out its tripartite mission and the faculty member's obligation to determine what specific efforts best serve the institution's objectives. As with most major research universities, the University of Minnesota has a tradition of collegiality and consultation in the determination of its mission, goals, and objectives. While freedom of action is a significant corollary of academic responsibility, individuals at all levels are not assumed to be free to follow only their own interests. Similarly, departments and colleges must recognize the validity of extra- departmental or extra collegiate workload. In a very real sense, effort determination is a "team" decision.

At a minimum, all faculty members should have a clear understanding of the effort that the institution expects them to provide. This expectation should at least address how much effort should be allocated to each component of the University's tripartite mission (teaching, research, service/outreach) and how much to administration and governance activities. The nature of work can vary according to the varying missions of units within the University and according to the stage of development of individual faculty members. Thus, the University cannot prescribe a uniform expectation of effort for all faculty members. The University can, however, ensure the timely determination of individual effort expectations by defining an appropriate process of faculty and administrative involvement. While it is clear that each faculty member is entitled to significant professional latitude in determining how his/her efforts are carried out, it is also clear that the University has an obligation to establish reasonable expectations regarding both the effort and accomplishments of each faculty member.

The process to follow in developing effort expectations is outlined below:

1. Upon passage of the Faculty Effort Principles and the Effort Determination Process by the Faculty Senate and their approval by the Administration, the Senior Vice President for Academic Affairs will direct the deans of the colleges and the vice-chancellors for Academic Affairs of the Morris and Crookston campuses, to develop, consistent with these institutional faculty effort principles, elaborations of these principles for their units which will provide more specific guidance in the determination of individual faculty effort expectations. [Footnote: It is hoped that the Duluth campus administration and faculty will consider these principles as part of their collective bargaining process. It is

assumed that the medical faculty at Duluth will participate in the Health Sciences process.]

2. Consistent with the Principles above, each college or campus will use its regular faculty consultative process to develop college or campus effort principles. Since effort expectations may vary by department or division within colleges or campuses, the college or campus may choose to have both a unit-wide set of principles and a more specific set for individual departments or divisions.
3. Upon the development of college, campus and subunit faculty effort principles, the dean or vice chancellor shall forward such principles to the appropriate vice president for approval. When approved at the vice president level, the principles shall be forwarded to the Senior Vice President for Academic Affairs. All principles will become effective when they are approved by the Senior Vice President for Academic Affairs.
4. All revisions of college, campus, or related subunit faculty effort principles will follow this process.
5. When all of the relevant effort principles are approved, the appropriate administrator will meet with each individual faculty member to develop a clear understanding of the expected faculty effort. Normally effort expectations will be set sufficiently in advance of their applicability that faculty can adequately plan their activities. Appropriate documentation of these understandings is desirable.

It is expected that the first cycle of this process will be completed within twelve months of its approval by the administration.

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Terminology  
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As administrators and faculty develop an understanding of effort expectations, they will need a common set of terminology to identify specific elements of faculty effort. To promote standardization of the terminology, the Task Force is providing an initial list of the elements of effort (see attached). The major categories in the list are the three traditional mission areas - teaching, research, and service/outreach. In addition, we have identified a fourth category to include administration and governance activities. This categorization is consistent with the Tenure Code separation of professional service and other service activities. There are numerous subcategories within each category. The Task Force is aware that the Outreach Council is proposing to eliminate the use of the term service in describing mission related activities. The judgment of the Task Force as reflected in the proposed list of elements is that activities in support of professional groups belong in a mission category and should not be viewed as simply support service. If the recommendations of the Outreach Council are adopted by the University, the existing wording in the Tenure Code and other documents will need to be changed.

This extensive list of elements of faculty effort is an indication of the complex and comprehensive set of duties that faculty members typically perform. Obviously, not all of the faculty engage in all of these specific activities. We expect that units will make use of this list in developing their effort principles, making explicit which aspects are most applicable and most important to the mission of the unit. The initial list should not be seen as a fixed document, but rather one that is intended to evolve over time. Presuming that our initial effort will receive considerable refinement as this report is implemented, we recommend that together with the Faculty Consultative Committee (FCC), the Senior Vice President for Academic Affairs institute a systematic process for reviewing and updating this list on a regular basis.

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Database of Activities and Accomplishments  
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Most of this document is directed to the statement of institutional faculty effort principles and the process for elaborating and utilizing these principles within units. It is also important to include here a recommendation for reporting the activities and accomplishments of the faculty.

Faculty effort principles and development processes will provide a necessary basis for accountability, but they may not be sufficient by themselves. The record of actual faculty effort and accomplishments is a form of accountability that is commonly expected.

While the institution must be careful not to impose onerous reporting requirements on itself and its faculty, it must have a means of summarizing faculty effort and accomplishments. Currently nearly all faculty members prepare an annual statement of activities and the University's Course Inventory provides information on some aspects of teaching. However, the current institutional information seems substantially deficient in providing an overview of the full range of effort and, most importantly, of the broad array of faculty accomplishments.

In response to this need, the Task Force recommends the following action:

The Senior Vice President for Academic Affairs will, in consultation with the FCC, appoint a task force to recommend the most appropriate means of collecting and reporting data on faculty activities and accomplishments. Consideration should be given to data that reflect unit activities and accomplishments to the extent that they are more than a simple aggregation of the data for individuals. The recommendations of the Task Force will be available for action by June, 1993. With this recommendation, the Faculty Workload Task Force is specifically not suggesting a very detailed data collection activity in which form triumphs over substance. In particular, we would expect a data collection effort that is designed around the list of effort elements but does not address detail below the level of the first major subdivisions under each of the four major categories (Teaching; Research, Scholarly and Creative Work; Service/Outreach; and Administration and Governance).

ATTACHMENT  
ELEMENTS OF FACULTY EFFORT

I. Elements of Teaching (Undergraduate, Graduate and Professional)

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\* Large Basic Lecture Courses

Lecturing Preparing and updating syllabi  
Preparing current lectures  
Arranging guest lectures by other faculty and professionals in the field or subject area  
Preparing text materials  
Reviewing and selecting textbooks  
Preparing visual aids and demonstrations  
Reading to keep up with recent developments  
Preparing problem sets, homework assignments and exams  
Publishing lecture notes  
Meeting with students during office hours and at other times  
Training and supervising teaching assistants and graders  
Maintaining course records  
Coordinating with other faculty in multi-section courses  
Managing discussion sessions  
Grading exams Responding to student questions and comments

\* Regular Lecture and Lecture Discussion Courses

Lecturing  
Preparing and updating syllabi  
Preparing current lectures  
Arranging guest lectures by other faculty and professionals in the field or subject area  
Reviewing and selecting textbooks and other readings  
Preparing visual aids and demonstrations  
Framing activities designed to facilitate focused discussions  
Reading to keep up with recent developments  
Preparing text materials  
Publishing lecture notes  
Preparing problem sets, homework assignments, and exams  
Grading problem sets, homework assignments, and exams  
Meeting with students during office hours and at other times  
Maintaining course records  
Responding to student questions and comments

\* Laboratory and Field Courses

Devising and testing field exercises, laboratory experiments, and models  
Devising computer exercises  
Teaching the laboratory or field exercise (lecturing and leading)  
Arranging professional contacts to meet with students in field settings  
Organizing equipment for practice

- Planning and supervising field trips
- Preparing reagents, specimens, etc.
- Supervising teaching assistants
- Devising lab quizzes and exams
- Grading exercises, quizzes and written and practical exams
- Developing and presenting lectures on laboratory material
- Guiding students and answering questions in lab and at other times
- Maintaining course records

\* Seminars and Advanced Courses

- Lecturing when appropriate, or evaluating student presentations
- Reading extensive specialized literature
- Reading lengthy student papers
- Choosing, inviting, and hosting guest lecturers
- Meeting extensively out of class with students
- Assigning grades and maintaining course records
- Advising and directing student tutorials
- Selecting readings and other class materials

\* Clinical Professional Courses

- Clinic and bedside teaching
- Individual or small group discussions and evaluations
- Patient related seminars and clinical materials review
- Developing and presenting lectures on clinical materials
- Lecturing
- Preparing and updating syllabi
- Devising clinical quizzes and exams
- Grading quizzes and exams
- Evaluating papers and care plans
- Maintaining course records
- Responding to student questions and comments
- Guiding students and answering questions in clinic/hospital and at other times
- Teaching surgical and patient examining techniques
- Maintaining course records
- Planning and chart reviewal for student clinical experiences

\* Instructional Preparation and Follow-up

- Learning about general institutional resources e.g. computer facilities
- Consulting internally on scientific methods
- Handling post-course problems and complaints
- Working with publishers to provide advice on needed texts and appropriate authors
- Maintaining artistic and intellectual standing in the discipline

\* Studio Classes

- Deliver instruction that enables students to make art, apply art, and facilitate arts activities

\* Instructional Improvement

- Revising and designing curriculum
- Exploring new teaching approaches
- Obtaining and implementing student course evaluations
- Evaluating the teaching of peers
- Developing and participating in internships and international programs
- Preparing and teaching honors courses
- Attending relevant professional meetings
- Previewing audiovisual and computerized programs for classroom use
- Updating study guides and other educational materials

\* New Course Development

- Reading texts, monographs, and research journals
- Consulting with other faculty at UM and elsewhere
- Preparing grants for course and curricular development
- Preparing new lecture notes, visual aids, etc.
- Writing textbooks, study aids, etc.

\* Undergraduate Creative Work and Research Supervision

- Meeting with prospective students to explain research possibilities
- Planning suitable research projects
- Training in necessary lab and data analysis techniques
- Frequently discussing results, giving guidance on next steps to take, troubleshooting
- Editing research papers
- Helping prepare research presentations
- Obtaining grant support

\* Student Advising (Graduate and Undergraduate)

- Giving advice on course selection

Providing career guidance  
Providing personal counseling and referral  
Writing letters of recommendation  
Supervising preprofessional student organizations  
Serving on thesis guidance and oral exam committees  
Devising, administering, and grading graduate written prelim exams  
Providing approvals for use of university services  
Advising ad hoc student groups  
Providing guidance and direction in the field

- \* Working With Other Faculty on Curricular Decisions and Development
  - Coordinating multi-section courses
  - Preparing syllabi, textbooks, and exams
  - Revising existing courses
  - Coordinating sequences of courses
  - Devising new courses
  - Developing new curricula, majors, minors, etc.
- \* Creative Work and Research Activities That Should Be Counted Under Teaching
  - Guiding and mentoring Master's and PhD candidates
  - Supervising and training postdoctoral students
  - Attending research group conferences, journal clubs, and meetings related to training young scholars
  - Obtaining and administering training and instructional development grants
  - Reviewing theses and participating in review or examining committees for post baccalaureate programs
  - Colloquium coordination and presentation

## II. Elements of Research, Scholarly, and Creative Work

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- \* Hands-on Faculty Creative Work and Research
  - Pursuing scholarly investigation in the laboratory, the library or in the field
  - Participation in research as a faculty member/scientist in the Minnesota Agricultural Experiment Station or similar unit
  - Creating works of art, writing music, designing, architecture, performing works of art, etc.
  - Undertaking scholarly investigations with colleagues at other institutions (e.g. during quarter leave, or via telecommunications)
  - Applying art and facilitating arts and activities
  - Writing and publishing \* research papers
  - Reviewing articles and monographs of peers
  - Writing research publications\* with post-doctoral associates or colleagues
  - Preparing scholarly presentations for local, national and international meetings
  - Editing collections of essays
  - Carrying out clinical research (laboratory, epidemiological, etc.)
  - Clinical collaboration with basic researchers

\* Publication within the arts means placing work before professional communities and the public.
- \* Graduate and Professional Student Creative Work and Research
  - Assisting research students outside of the instructional setting
  - Supervising creative works outside of the instructional setting
  - Writing research publications in conjunction with graduate assistants
  - Assisting students in travel, and attendance at research meetings
  - Preparing students for their research presentations
  - Attending graduate research presentations
  - Preparing and presenting research at local, national and international meetings
  - Writing laboratory specifications, and documentation (e.g. lab safety)
  - Supervising medical and other health sciences resident research contributions
- \* Undergraduate Creative Work and Research
  - Assisting in preparing material for undergraduate research projects
  - Counseling graduate students in assisting undergraduate research
  - Assisting undergraduates in summer undergraduate research projects
  - Attending undergraduate research presentations
  - Maintaining relationships with organizations supporting undergraduate research projects
  - Conducting tutorials and directed studies activities
  - Consulting internally on scientific methods

- \* Supporting a Creative Work and Research Base
  - Writing unsolicited proposals to federal, state and local government funding agencies
  - Writing unsolicited proposals to private foundations
  - Writing solicited proposals through the federal registry
  - Writing solicited proposals to private industry
  - Obtaining research funding support
  - Managing budgets, contracts and grant requests
  - Selecting and supervising technical support staff
  - Writing specifications for capital equipment purchases
  - Writing specifications for building and laboratory renovation
  - Attending committee meetings for managing laboratory facilities (e.g. the High and resolution electron microscopy center and human subject and animal experimentation review)
  - Preparing interim and final project reports
  - Arranging and conducting project site reviews
  - Attending meetings to discuss preparation of proposals to funding agencies
  - Attending meetings to coordinate inter-institutional research projects
  - Reading appropriate journals and other publications

### III. Elements of Service/Outreach

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- \* Professional Reviewing grants and manuscripts of peers
  - Serving on advisory boards of government and foundation -granting agencies
  - Serving on national examining boards (e.g. The American Board of Medical Examiners)
  - Providing editorial functions for professional journals or collections of essays
  - Serving as officers and counselors for professional societies
  - Evaluating non-University of Minnesota faculty accomplishments for promotion and tenure
  - Maintaining liaison relationships with local, state and national professional societies
  - Reviewing external books/papers/proposals as requested by others
  - Organizing and presenting workshops, symposia, and sessions at meetings
  - Visiting other major research institutes and universities at the request of funding agencies or other universities
  - Meeting with government, industrial and private foundation leaders to generate funding proposal interest
  - Hosting faculty visitors
  - Mentoring junior colleagues
  - Serving on accrediting bodies
- \* Clinical Service
  - Diagnosing and treating patients
  - Holding diagnostic conferences
  - Preparing and reviewing patient records
  - Providing public education about health-related issues
  - Facilitating patient care/management seminars
- \* Extension and Outreach
  - Needs assessment
  - Program evaluation
  - Research synthesis and developing interpretations
  - Writing periodic consumer interest articles for the popular press
  - Developing research based "fact sheets," bulletins, audio-visual and other educational materials on new technology and other ideas useful to consumer groups
  - Serving on advisory committees to various community and commodity groups
  - Coordinating county and providing input to state 4-H youth programs
  - Conducting periodic mass media educational programs
  - Establishing demonstration plots illustrating new crop varieties and experimental treatments
  - Developing and carrying out informational conferences, workshops, field tours, and field day demonstrations
  - Responding to individual requests for information on horticulture, forestry, agronomy, soils, pest control, etc.
  - Relaying consumer issues and problems to University specialists and responding with recommendations
  - Carrying out applied research directed at specific short term needs and problems
  - Providing expertise to public agencies
  - Developing field trials and demonstrations
  - Consulting on scientific methods



\* Community Service and Education

Working with other parts of the higher education system  
Consulting without compensation with units of local, national and international government  
Collaborating and consulting with local industry  
Facilitating the transfer of technology to industry  
Serving without compensation as expert witnesses  
Providing outreach programs to community professionals and consumers of their services or products  
Assisting local school systems  
Providing expertise to the media, community groups and the general public  
Answering phone and other contacts of the general public  
Delivering non credit courses  
Providing lectures, seminars, and workshops for the public  
Preparing publications and other materials to communicate information to the public

\* Quasi-State Agency Functions

Coordinating or conducting activities with government constituents

IV. Elements of Administration and Governance

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Preparing course schedules  
Providing leadership for specific departments, colleges, or the University  
Allocating space and facilities allocation  
Supervising shared research facilities  
Recruiting faculty and staff  
Making hiring, promotion and tenure decisions  
Taking part in faculty governance Developing educational policy  
Providing advice to administration  
Handling grievances  
Assisting with undergraduate student recruitment and orientation (including minority and international students)  
Assisting with graduate student recruitment and orientation (including minority and international students)  
Developing library acquisition policy  
Developing research policy  
Supporting fund-raising and other development activities  
Serving on committees  
Ordering laboratory supplies for teaching and research  
Administering clinical programs  
Directing technology transfer activities with government and industry  
Managing shared research facilities  
Recruiting and evaluating students for admission  
Facilitating communication between faculty and central administration

ADDENDUM

The workload principles and guidelines in all units shall enable its FULL-TIME TENURED AND TENURE-TRACK FACULTY to devote sufficient time to meeting their responsibilities as would reasonably be necessary:

- (a) for all ranks, to make scholarly contributions expected of their facilities, and
- (b) in the case of assistant and associate professors, to sustain the quality of continuing contributions required in the respective unit to achieve tenure and promotion.

This policy establishes a standard applicable to all faculty ranks. It recognizes that University research is inextricably interwoven with teaching and often with service, and that the proportion of effort devoted to research need not be identical for each individual faculty member in a unit, but may vary around the unit's average. Such activities are to form a part of the faculty member's normal work effort during his or her term of appointment.

[Return to Senate Reports and Recommendations Page](#)