



Cato College of Education Faculty Workload Policy

Approved by Faculty Council and Cato College Faculty, October 2024

Introduction

This policy provides information on the Cato College of Education's procedures to establish workload expectations, in compliance [UNC System](#) and [UNC Charlotte](#) policies. Further, it outlines the processes by which workload efforts may change.

The total workload of faculty in the Cato College of Education encompasses a combination of the three traditional areas expected of the professoriate: teaching, scholarship, and service. The specific expectations in these areas are articulated in the most current versions of the *Criteria and Procedures Used at Department and College Levels to Conduct Reappointment, Promotion, and Tenure Reviews in the College of Education at The University of North Carolina at Charlotte* and *Criteria and Procedures Used at Department and College Levels to Conduct Reappointment and Promotion Reviews for Clinical Faculty in the Cato College of Education at The University of North Carolina at Charlotte*. Furthermore, the specific workload expectations of clinical faculty are articulated within the employment contract. As a college, we recognize that the mix of teaching, scholarship, and service responsibilities can vary among faculty and across years of service. Therefore, to ensure substantive contributions by an individual faculty member toward the goals of the college and to appropriately reward such contributions, the Workload Policy articulates the expectations of faculty for the desired combination of teaching, research, and service. This selected focus will then guide the faculty member's contribution to the department and college during a specified period of time.

Distribution of Efforts

As per UNC Policy Manual 400.3.4[R], "Each faculty member shall work with their dean or department chair to develop a work plan for the upcoming academic year, in alignment with the institution's workload expectations and the needs of the academic department, college/school, or institution." The work plan shall identify the specific outputs and efforts a faculty member is expected to complete in the next academic year, recognizing that those items may be part of long-term or multi-year initiatives.

This policy applies to faculty members who are appointed for longer than one year and who are full-time, including those who serve in administrative roles. Faculty members who are classified as Senior Academic and Administrative Officers or are in another leave-earning position shall not have an annual workload plan. Temporary faculty members, faculty members who are appointed for one year or less, and faculty members who are less than full-time may have an annual workload plan if directed by the institution.

Faculty efforts are represented across three categories: teaching, research, and service. When taken together, the percentages, as articulated in the distribution of efforts, for all categories must total 100%. [Per university policy](#), the Dean has the final decision-making authority on workload assignments for faculty within the Cato College of Education.

Distribution of Effort Processes & Annual Evaluations

Distribution of effort for faculty members will be determined annually in a consultation between the faculty member and the department chair as a part of the annual review process.

The following are the typical steps to determine distribution of effort:

1. Faculty establish their goals for the coming year and consider the distribution of efforts that will enable them to meet those goals. In some cases, contractual stipulations will establish the baseline distribution of efforts and faculty may propose alterations to those distributions with corresponding justification.
2. Faculty members will submit goals within the annual review process, including the proposed distribution of effort, to the department chair.
3. The department chair shall review the work of the faculty member relative to their approved work plan, as articulated within the annual review, and the proposed distribution of effort for the upcoming academic year.
4. As warranted, the department chair will schedule an annual review conference with the faculty to discuss the distribution of effort.
5. Upon reaching consensus for the distribution of effort, the department chair will convey the upcoming percentage of effort in teaching, research, and service in the annual review letter.
 - a. If agreement cannot be reached on the distribution of effort, the faculty member and department chair will consult the Dean of the Cato College of Education, who will serve as arbitrator.
 - b. The Dean will make the final determination of the distribution of effort and communicate this information to the department chair. The department chair will convey the distribution of effort in teaching, research, and service on the annual review letter.

The specific goals of the work plan should build towards and align with the expectations of the next summative/comprehensive review that a faculty member will undergo (e.g., reappointment, promotion, tenure, post-tenure review). Faculty can, in consultation with the department chair, annually adjust the distribution of effort as part of the review process, thus allowing for a shift in interests or opportunities when appropriate. Faculty may also request a mid-year meeting with the department chair to reevaluate distribution of effort, if necessary, which will allow for a more accurate annual review at the close of the academic year.

Faculty Success Plan

As per UNC Policy Manual 400.3.4, a faculty member who does not adequately satisfy their workload expectations for the review period, as determined with the annual evaluation conducted by the department chair, shall be subject to a faculty success plan. The plan will include specific steps designed to lead to improvement, a specified timeline in which improvement is expected to occur, and a clear statement of consequences should improvement not occur within the designated timeline.

Teaching Effort

Consistent with G.S. 116-1(b), teaching and instruction are the central responsibilities of the UNC System and form a critical base of workload expectations for faculty. In addition to organized courses, the faculty member's instructional workload also includes other instructional efforts such as developing materials for a new course, updating materials for an existing course, developing courseware or other materials for technology-based instruction, supervising undergraduate research and masters' theses and doctoral dissertations, directing students in co-curricular activities such as plays, preparing and equipping new

laboratories, supervision of teaching assistants, supervision of internships, academic advising, mentoring, and other activities that support student success. (UNC Policy Manual 400.3.4, pp. 2-3)

Standard Teaching Effort

The standard teaching effort for any faculty member is determined by their rank. The standard teaching efforts are as follows:

- Assistant Professor: Year 1: 30%; Years 2-5: 40%
- Tenure-track and tenured faculty (associate and full): 50%
- Clinical faculty (or non-tenure track faculty): 80%; however, may vary, specific to the position/faculty contract
- Endowed Faculty: Specific to the position/faculty contract, but not less than 20%

Standard Definition of Organized Course Section

Each organized course section is considered to represent 10% of the proposed teaching effort. Thus, for example, 40% effort reflects a teaching load of 4 courses. To contribute to the standard teaching effort, an organized course section must hold regularly scheduled class meetings and/or encompass structured asynchronous activities. Dissertation/thesis advising and independent studies do not count towards the teaching effort of organized courses; however, in certain circumstances, these can be considered for a limited term reduction in teaching effort (see below).

As necessary, to account for variance in course credit hours, departments have the option to utilize student credit hours (number of enrolled students x number of course credit hours) in fulfillment of minimum teaching effort expectations. For example, a 1-credit hour course with a larger course enrollment may be considered equivalent to a 3-credit hour course with a smaller enrollment using the student credit hour formula.

Variations within Standard Teaching Effort

Teaching effort reductions/reallocations will not be made for routine activities that are a normal part of the faculty member's duties, as established in UNC Policy 400.3.4. However, adjustments to standard teaching effort can be made on an individual basis. Examples of appropriate adjustments include, but are not limited to, buyouts through grants and contracts, and approved requests to redirect teaching effort toward additional research, as articulated in the procedures within this document (see Reduction in Teaching Effort application procedures).

Limited Term Reduction in Teaching Effort

The Cato College of Education recognizes that faculty members may periodically be asked to participate in activities or tasks or to take on roles within the College or University for which it is appropriate to make a limited term adjustment to the faculty member's teaching effort. Examples could include taking on a leadership position, a heavy commitment to graduate education, work on a specific temporary project, or a significant administrative responsibility. The effort reduction should be negotiated with the department chairperson at the time of request. Additional documentation may be required by the department chair, who will present the request to the Dean of the Cato College of Education. All limited term teaching effort reductions must be approved by the Dean.

Research Effort

Faculty members, particularly at constituent institutions whose overall missions include research, engage in the work of discovering, disseminating, and applying knowledge and professional expertise. These activities may include (but are not limited to) working in laboratories and studios, conducting empirical and/or theoretical research, engaging in development or translational work, and/or producing creative works. Toward that end, faculty write articles, monographs, and grant proposals, edit scholarly journals, prepare juried art exhibits, direct centers and institutions, or perform in plays, concerts, or musical recitals. (UNC Policy Manual 400.3.4, p. 3)

Standard Research Effort

The standard research effort for any faculty member is determined by their rank. The standard research efforts are as follows:

- Assistant Professor: Year 1: 60%; Years 2-5: 40%*
- Tenure-track and tenured faculty (associate and full): 30%
- Clinical faculty (or non-tenure track faculty): 0%; however, may vary, specific to the position/faculty contract
- Endowed Faculty: Specific to the position/faculty contract

* The allocation of effort for assistant professors is indicative of their emerging research agenda and increased time and effort for these faculty members toward publishing and disseminating their research.

Research Expectations

All faculty who expend a percentage of their overall effort in the area of research should achieve the following expectations:

- Articulate a clearly defined research agenda and focus which is related to the professional themes that define the faculty member's work
- Possess a record of peer-reviewed publications that include systematic methods of inquiry

These expectations acknowledge that research may: occur in a variety of settings, encompass various forms of methodologies and data, and involve collaborative activities with various constituencies. In seeking to acknowledge the various forms research may take, the Cato College of Education will examine scholarly productivity over a three-year period to ascertain alignment between performance and effort expenditures. Measures of quality and impact could include the following: journal acceptance rates, number of citations, circulation, publication notes (e.g., special mention, best paper award), journal impact factor, recognition at the national and/or international level, and quality of book publisher.

The specific expectations for the levels of effort in research for tenure-track faculty at or above the rank of associate professor are articulated in Appendix A.

Variations within Research Effort

Reallocations in research effort will not be made for routine activities that are a normal part of the faculty member's duties, as established in UNC Policy 400.3.4. However, faculty may elect to submit an application to increase effort in research, with a corresponding decrease in teaching effort (see Reduction in Teaching Effort application procedures). Furthermore, tenured faculty can elect to decrease their research effort, with a corresponding increase in effort in teaching through communication of the request to the department chair. In addition, the department chair can increase the teaching effort of a tenured faculty member based on the annual review for faculty who consistently do not meet minimum research expectations, as documented within processes articulated in the Faculty Success Plan (see Distribution of

Efforts section of policy). All variations within percentage of effort directed towards research must be approved by the Dean.

Service Effort

Faculty members engage in service that advances the work of the institution and the institution's role in supporting North Carolina. Service work of faculty may include activities which enhance the scholarly life of the university or the discipline, improve the quality of life or society, or promote the general welfare of the institution, professional and academic societies, the community, the state, the nation, or international community. Faculty members may also be assigned administrative responsibilities, including but not limited to, department chair/head, program director, and center director. Institutional policies shall specify the means and extent by which administrative responsibilities count towards a faculty member's total workload. (UNC Policy Manual 400.3.4, p. 3)

Standard Service Effort

The standard effort in the area of service for any faculty member is determined by their rank. The standard service efforts are as follows:

- Assistant Professor: Year 1: 10%; Years 2-5: 20%
- Tenure-track and tenured faculty (associate and full): 20%
- Clinical faculty (or non-tenure track faculty): 20%
- Endowed Faculty: Specific to the position/faculty contract; If no contractual stipulations are present, expected service effort is 20%.

Service Expectations

The following encompass the service expectations of all faculty:

1. Involvement within the community of practitioners/professionals in one's field
2. Involvement in professional organizations and associations in one's field (e.g., some combination of regional, state, national/international levels)
3. Contributions to the mission of the program, department, college, and/or university through active engagement in committees or task forces

Expectations with regard to service impact and leadership vary based on rank and tenure status, with higher ranks demonstrating increasing leadership responsibilities and documented impact among the three areas delineated above.

Variations within Standard Service Efforts

Workload effort reallocations will not be made for routine service activities that are a normal part of the faculty member's duties, as established in UNC Policy 400.3.4 and articulated within the aforementioned expectations. Workload effort reallocations for a service obligation that is significant and labor-intensive may be negotiated with the department chair. In accordance with the stated expectations, such a release would only be granted where the obligation is well beyond typical service obligations. This may include, but is not limited to, service as president of a major national or international organization, leadership on a committee or task that will produce work with a University- or College-wide impact, an editorship in a leading journal within the faculty member's field, or in some other highly consequential service role(s). The term of the workload effort reallocation for increased service shall not exceed one year. However, the reallocation may be renewable for multi-year service commitments or appointments. Additional documentation may be required by the department chair, who will present the request to the Dean of the Cato College of Education. All reallocations in workload efforts must be approved by the Dean.

Reduction in Teaching Effort

In January of each academic year, all faculty in the College of Education are required to submit an annual report, listing their accomplishments between the previous and current annual review year (January 1 – December 31). Changes in teaching effort may be requested by tenure-track faculty at or above the rank of associate professor during this annual review process. In consultation with the department chair, clinical faculty may also consider submission of an application for reduction in teaching effort.

For faculty who are applying for a reduction in teaching effort, the Reduction in Teaching Effort application (see Appendix B) must be appended to the end of their annual report. This application must be submitted once every three years to procure or maintain a reduction in teaching effort, which may not exceed 10% as part of the application process. The first part of the application includes a chart listing publications from the previous three years. Acceptable evidence that a manuscript is published may include an assigned Digital Object Identifier (doi) number or an ISBN number. Each publication can count in only one year for workload considerations. The second part of the application is a narrative that must be no more than one single-spaced page, in which the applicant addresses the justification for reduced teaching effort.

Since the department chair may not be familiar with the scope and breadth of the scholarly work presented by the faculty member, including the level of quality of professional journals or publishers, it is incumbent on the faculty member to present evidence and information to build the justification for the reduction. Some ways in which the case for a reduction may be supported for publications could include: (1) acceptance rate, impact factor, or scope of distribution, (2) citations of work by other scholars, (3) books or chapters published by a major publishing company, and (4) level of contribution of the faculty member to the publication (e.g., lead author or methodologist). To receive a reduction in teaching effort associated with research productivity, the faculty member will have produced at least 7 publications over a three-year period, with at least 4 that include systematic methods of inquiry, as defined in the most recent version of the *Criteria and Procedures Used at Department and College Levels to Conduct Reappointment, Promotion, and Tenure Reviews in the College of Education at The University of North Carolina at Charlotte*. While publications will significantly factor into reduction decisions, faculty members may also include additional information and evidence relative to research leadership and mentorship, external funding, and dissemination of research and knowledge through other means (see Appendix A for additional details on expectations for higher research productivity).

Procedures for Requesting a Reduction in Teaching Effort

1. The faculty member will append the Reduction in Teaching Effort application (see Appendix B) to their annual report and submit each by the deadline established by the College.
2. The department chair will review the application, as part of the annual review process, and provide access to the materials to the Dean of the Cato College of Education. In consultation between the department chair and the Dean, a decision upon the application will be made.
3. The department chair will provide the decision to the applicant in the annual review letter, with the corresponding effort to be directed towards teaching articulated in the letter. If a reduction request is not approved, the annual review letter will address the reasons why the reduction was not recommended.

Changes to effort in teaching will go into effect during the following academic year.

Process for Appealing Workload Reduction Decisions

In the event a faculty member's application for a reduction in teaching effort is not approved, the individual may appeal the initial decision. Faculty who choose this option are required to complete the appeals process, which is as follows:

1. Faculty members should notify their department chair, via a formal email, that they intend to apply for an appeal. In the email, appellants should request the department chair to provide the annual report letter and workload application to the College Review Committee (CRC) chair.
2. The appealing faculty member should craft a 1-2 page appeals letter (single-spaced, Times New Roman, 12-point font) in response to the workload decision in question. In the appeals letter, the appellant should provide specific counterpoints to the information included in the annual report relative to the reduction decision. The content of the appeals letter should be confined to the evidence contained in the submitted annual report and workload application. The letter must be submitted directly to the CRC chair.
3. Both the department chair and the appellant should provide their evidence no later than one month from the dated annual report decision letter.
4. The CRC will make a recommendation to the Dean regarding the workload for appellants by May 1.
5. The Dean will weigh evidence, consider the recommendation provided by the CRC, and make the decision as to the workload for the appellant faculty member. All appeals will be settled and communicated to the appellants by May 15. The Dean has the final authority to assign faculty teaching workloads.

Appendix A

Research Effort Criteria

Required Criteria	RPT Criteria	Focus on Research (40% effort)	Standard (30% effort)	Focus on Teaching (20% effort)
Quick Reference		At least 7 publications over three years; at least 4 include systematic methods of inquiry and are published in peer-reviewed outlets.	6 publications over three years; 2 include systematic methods of inquiry and are published in peer-reviewed journals.	3 publications over three years; none have to be in peer-reviewed journals.
NUMBER OF PUBLICATIONS	Presents a record of published work which translates research into practice to improve professional practices and outcomes and/or synthesizes knowledge through literature reviews which identify critical themes and needs.	A three-year average of more than 2 publications per year (at least 7 total). Publications can include journal articles, books, edited books, book chapters, research to practice articles, and literature reviews. AND	A three-year average of 2 publications per year (at least 6 in total). Publications can include journal articles, books, edited books, book chapters, research to practice articles, and literature reviews. AND	A three-year average of 1 publication per year (3 total). Publications can include journal articles, books, edited books, book chapters, research to practice articles, and literature reviews. AND
DATA-BASED STUDIES (OR MAJOR CONCEPTUAL WRITING)	Presents a record of published work, including data-based research, which includes a systematic method of inquiry and generates new knowledge in the field.	At least 4 publications include systematic methods of inquiry and/or major conceptual writing. AND	At least 2 publications include systematic methods of inquiry and/or major conceptual writing. AND	Publications may focus on translating research to practice or conducting original research. AND

<p>CLEAR RESEARCH AGENDA/ ACTIVE PROGRAM</p>	<p>Articulates a clearly defined research agenda and demonstrates an active research program.</p>	<p>Has a clearly articulated research agenda in both annual report and application for 40% research effort. Active research program includes having met goals from prior year, clear goals for ongoing original research and writing, and specific plans to complete work in preparation.</p>	<p>Has a clearly articulated research agenda in the annual report, showing ongoing activity in work in press, in submission, and in progress.</p>	<p>Has a clearly articulated research agenda in the annual report. Depending on teaching and service commitments, may not meet research goals every year.</p>
<p>DISSEMINATION</p>	<p>Presents a sustained record of disseminating research and knowledge at multiple levels, e.g., state, regional, national, and international conferences.</p>	<p>Presents research and knowledge at multiple levels, e.g., state, regional, national, and international conferences, including presenting faculty member's own data-based research or other major writing at national level. Produces technical reports that are disseminated to a wide array of education stakeholders.</p>	<p>Presents research and knowledge at multiple levels, e.g., state, regional, national, and international conferences.</p>	<p>Presents knowledge at multiple levels, e.g., state, regional, national, and international conferences.</p>
<p>EXTERNAL FUNDING</p>	<p>See RPT document. Expectations for external funding leadership vary across faculty rank.</p>	<p>Successful in procuring external research or training grants, particularly federal research grants, if research</p>	<p>Engages in efforts to obtain funding to support a research agenda. Obtains university research grant or other local funding.</p>	<p>Evidence of grant funding and submissions is encouraged.</p>

		funding is available in that person's field.		
RESEARCH LEADERSHIP and MENTORSHIP	See RPT document. Expectations for research leadership and mentoring vary across faculty rank with more expected with movement to full professor.	Engages in research that is used to mentor and create opportunities for students and/or other faculty. Provides other ways for students and/or other faculty to grow in research (e.g., invitations to write, present). Leads research teams. Mentors doctoral and master's research projects.	Engages in research that can be used to mentor and create opportunities for students and/or other faculty. Provides an emerging record of research collaborations with students and/or other faculty. Mentors doctoral and master's research projects.	Participates on research teams. Mentors master's research projects and serves on doctoral committees.

NOTE: All numbers are benchmarks. Faculty can make a case for 2:2 based on the quality of work when the number of publications does not meet the criteria below. Further, the numbers alone will not necessarily guarantee reduced load.

Appendix B

Application for Reduction in Teaching Effort

This application for a reduction in teaching effort should be appended to the end of the annual report. Changes in teaching effort will be assigned on a yearly basis for the upcoming academic year. In the following chart, list all scholarship (in APA, 7th edition format) published during the three years previous to the current annual report, including the current year of record for the most recent annual report.

NAME: _____ **ACADEMIC YEAR FOR WHICH REDUCTION IS REQUESTED:**

Brief Statement of Research Agenda for Last 3 Years
Publications from Last 3 Years <i>(Use this space for any special explanations about publications in general).</i>
Publications for Year 1
Publications for Year 2
Publications for Year 3

Narrative Statement