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|  <p>Administrative Guidelines for Directors in the Assignment of Workload</p> | <i>Policy Sponsor:</i> Dean | <i>Approval Date:</i> MAC, Fall, 2012 |
| | <i>Responsible Unit:</i> Unit Directors | <i>Amendments:</i> Formatting, March 2018 |

The *Workload Discussion Document* of the Faculty of Health was last revised and approved in October 2004 (attached). After nearly 8 years, the document remains reasonably sound and appears to require no major revisions. Similarly, for the Faculty's *Guidelines for Assigning Research Workload Beyond Tenure* document (attached) which was approved in June 2004. However, there is a need for some administrative guidelines for Directors that come from recent changes in the Collective Agreement, from the desirability of having consistency among units to ensure that the principle of equitable treatment of faculty among and within units is observed, and the increasing need to provide assurance to the Board that workload assignments represent a wise and prudent use of resources allocated to Schools. It is expected that these Guidelines will guide Directors in their assignment of workload and their recommendations of workload to the Dean.

1. Directors are reminded that workload assignments need to be finalized early in the calendar year to comply with Article 20.05(b): *Following the approval by the Dean, the Chairperson, Head or Director will make reasonable effort by March 1 of each academic year, to inform each Member the details of his/her teaching assignment for the next academic year.*

Directors are asked to consult with the Dean on workload assignments by March 1 and prior to signing off on workload forms.

2. Faculty Council approved in 2011 a *Policy on Minimum Enrollment for Courses and Programs* (attached), and the sections of that policy that have implications for workload assignment are as follows:
 - a. Undergraduate courses with fewer than 12 registrants will not normally be offered but when one is and when there are 4 or fewer registrants in the course,

the course will be treated as if it were a Directed Readings course and will be counted for teaching credit as part of “other teaching activities”.

- b. Graduate courses with fewer than 50% of the average number of annual admissions to the School/College’s graduate program, or with fewer than 6 registrants, will not normally be offered in the Faculty. A graduate course with 3 or fewer registrants will be treated as if it were a Directed Readings course and counted for teaching credit as part of “other teaching activities”. If the course is offered again the following year and has 3 or fewer registrants, no teaching credit will be assigned.

3. **Workloads for Probationary Tenure Track (PTT) Faculty.** Article 20.05(e) of the Collective Agreement reads, *In order that a Member may balance the need for time to prepare new courses and to establish a research program, when the Member is appointed to a probationary tenure-track position, the Member will be given a teaching and administrative workload that is less than the normal teaching and administrative workload for the Department or other such unit for the first two years of the Member’s appointment.*

- a. The *Faculty Workload Discussion Document* specifies that the normal distribution of workload categories for PTT and TT faculty is 40% teaching, 40% research and 20% service. For consistency with Article 20.05(e), PTT faculty in each of their first two years of appointment will therefore be assigned approximately 30% of workload for teaching, comprised of three half-credit courses (which following from the Workload Discussion Document are credited as 24%) plus other teaching related activities (credited at 6%). To prepare these new faculty members for tenure consideration, it is suggested that at least one course in the first year and two in the second year would be for students in the undergraduate or entry-to-practice program. In year 3, teaching will comprise approximately 40% of workload (4 half-credit courses equivalent to 32% time plus other teaching related activities accounting for an additional 8%). Administrative workload in years 1 and 2 would normally constitute 5% of total workload, increasing to 10% in year 3. Research comprises the balance. In years 1 and 2, therefore, research would normally constitute 65% of workload, and in year 3 it would constitute 50% of the workload.

With the agreement of a new faculty member, the distribution of the reduced teaching/administrative load could be varied across the three years.

Once a faculty member is reappointed into a Tenure Track (TT) position, the normal workload would be 40% teaching, 40% research and 20% administrative service until tenure is granted. As discussed in the *Workload Discussion Document*, the protected research time allows the faculty member to develop an independent research program during his/her pre-tenure years so that sufficient time is available to permit tenure criterion to be met. Professional activities would be assigned within service.

- b. When a new PTT faculty member comes to the University with significant salary support for research, teaching workload in the first two years may be reduced to 20% and this may be continued for the duration of the award. The service component of workload would normally constitute 5% of workload in each of the years with salary support. It is the responsibility of the faculty member, in consultation with the Director, to ensure that the distribution of workload and the specific teaching assignments will ensure there are sufficient performance data to support a favourable recommendation from tenure and promotion committees
- c. When a tenured faculty member at Dalhousie receives a significant external salary support award which is credited to the Faculty's operating budget, the member may be assigned a teaching workload of no less than the equivalent of one course-equivalent (6 credits) (at least half of which would be with undergraduate or entry-to-practice students) per year, plus other teaching related activities. The service component of workload will normally constitute 10% of workload. Research constitutes the remaining 70%. These proportions may be adjusted depending on the terms of reference of the specific salary support award.
- d. The 40%/40%/20% distribution of teaching/research/service referred to in the *Workload Discussion Document* does **not** apply to tenured faculty although by practice it is the starting point for consideration of workload allocation. The allocation must reflect *the actual performance in the realms of teaching, research and service of the member*.
 - i. Taking into account vacation time, statutory holidays and other times when the university is closed, and based on a nominal 7-hour work day,

the work-year is comprised of approximately 1600 hours. Assignment of service workload should reflect an assessment by the Director and Dean what a reasonable amount of time would be required to carry out the service duties. Faculty are not remunerated by the hour, and some faculty members may take more time and some less time than the nominal amount determined by the Director/Dean to carry out some or all of the duties. It is the nominal time, not the actual time, that matters. A 20% service workload translates into a nominal workload of 320 hours (or 1 day a week) through the whole year; a 10% service workload means 160 hours; and a 5% service workload means 80 hours.

- ii. Workload credit for coordination roles and other School administration roles are to be included first under Service and not in teaching workload reductions. Under circumstances in which inclusion of an activity under Service would lead to a service workload significantly exceeding 20% of workload, consideration can be given to granting teaching release.
- iii. The Faculty's *Guidelines for Assigning Research Workload Beyond Tenure* provide operational definitions for what constitutes
 1. "Low percentage of research workload" (0-20%)
 2. "Low/moderate percentage of research workload (20-35%)
 3. "Moderate percentage of research workload" (35-50%)
 4. "Moderate/high percentage of research workload" (50-65%)
 5. "High percentage of research workload" (65-80%)
- e. Supervision of students is included in the teaching category.
- f. In accordance with the *Workload Discussion Document*, the minimum classroom teaching workload in the Faculty is one course-equivalent (6 credits). On rare occasions and under exceptional circumstances it may be possible to receive a reduced teaching load of ½ course equivalent (3 credits).
- g. It is recognized that the College of Pharmacy and the School of Physiotherapy organize their teaching in team-taught modules of varying intensity and duration, and accordingly the principles enunciated above do not apply in their detail to those units but they do apply in intent.

4. As described in the Workload Discussion Document, 100% Limited Term appointments “which do not lead to probationary tenure track appointments” would normally have workloads exclusively related to teaching and service. It is believed that the maximum teaching workload for any faculty member should be 8 half courses (i.e., 24 credits plus other teaching-related activities). They will also assume administrative duties of approximately 20-40% time. [In comparison, part-time faculty members are generally assigned 8% time per 3 credit hour course during the teaching term.]”

“Because it is possible that some units have the concern that few persons may be fully qualified to provide the equivalent of [8 half courses] in a diversity of subject areas in a quality manner, Directors, in conjunction with their faculty and with the approval of the Dean, may adjust the model so that a higher percentage of administrative work or work that supports the research mission of the unit can be incorporated.” Teaching contributions of limited term faculty will not be less than 50% of workload.

5. On occasion, limited term positions may be approved by the Dean to have a significant research component.

FACULTY OF HEALTH WORKLOAD DISCUSSION DOCUMENT

(Approved by Full Faculty April 28, 1999; Revised and Approved by Full Faculty October 28, 2004)

Preamble

Workloads in the Faculty of Health are considered heavy but there is also concern that they are inequitable across units, and sometimes within units. Reductions in numbers of faculty members over the years, and reductions in budget, have added to the teaching workloads of faculty members as well as increased administrative work for all members of academic units.

In a response to a University initiative to assess workloads across Faculties, a workload study was conducted based on Faculty of Health workloads from July 1, 1992 to June 30, 1993. This study required meticulous reconstruction of the work that faculty members did and utilized the annual workload signed by both the Director and Faculty member, faculty member annual reports, enrolment and timetable information from the Registrar's office, consultation with the calendar for course descriptions, and use of payroll information on teaching assistants and other instructional support. The study was presented to the Directors in January 1998.

The main findings were:

1. Workload reporting varies from unit to unit.
2. Some units do not report other than teaching-related workload.
3. Workload does not equal 100% in several units.
4. Several workloads are based on self-report of activities, e.g., contact hours, which are not derived from standardized assessments.
5. There may be inequity in teaching workloads across the Faculty.
6. It is difficult to determine in a meaningful way the number of courses taught by a faculty member because of insufficient information, e.g., faculty member taught versus coordinated the course, member taught whole or part, amount of assistance, etc.
7. Electives taught by full-time faculty members vary from few to many.
8. Units do have a clear idea of how workload is derived, however, documentation is not as clear.
9. Committee work is often treated generously in workloads and is often undifferentiated.
10. Units that consider more than teaching workload commonly use the five workload components identified in the Collective Agreement. Often there is an "other" category.
11. Special circumstances, e.g., fieldwork students, are often treated generously.
12. No School/College workload is so unique that it could not be recorded in a standardized fashion.

As a response, Directors agreed to develop a standardized workload reporting system, and to explore the development of a consistent process for a fair and just workload assignment and reward process. The **purpose** of this document, therefore, is to develop a standardized

workload system that is principled-based, fair, comparable, equitable, and allocates research workload ultimately on the basis of research productivity. The exploration for the development of a consistent process began with the establishment of a series of workload principles:

Workload Principles

By **workload** is meant the full range of academic responsibilities, including all teaching-related activities, research and scholarly work, library, extension and administrative work, all service-related activities (clinical, committee, professional, public) and all relevant criteria and standards applicable to probation, promotion and tenure. (See also articles 20, 21 and 22 in the Collective Agreement).

Normal working hours/week means the hours required to fulfill all weekly workload responsibilities, i.e., the duties assigned and reported on the standard workload reporting form.

1. General Considerations

- **Workload responds to/meets units' missions/needs**

The needs of units are considered to be those efforts expended that are necessary to fulfill a stated mission, including core clinical and administrative functions and research.

Needs could be identified and defined by a unit's faculty and Director and approved by the Dean.

- **We aim for workload equity within the Faculty and within units**

Equity and Fairness involve the consistent application of workload assignments, workload principles and recognition of the value of the work performed within a framework of flexibility.

- **Workload includes recognized activities**

Recognized activities are those duties assigned and reported on the standard workload reporting form.

- **We would like to balance teaching and other workload components**

- **For larger units, workload assignment aspires to see that full-time faculty members cover the vast majority of courses at full complement**

Larger units are the College of Pharmacy, School of Social Work, School of Health & Human Performance, School of Nursing and School of Human Communication Disorders.

- **In workload, we try to get our fair share from joint/part-time appointments**

Contributions made by joint or part-time faculty, excluding sessionals, will include, as a minimum, teaching and administration.

2. How Workload is Determined

- **Workload is multi-component**
- **Workload = 100% (i.e., major components are assigned %)**
- **Guidelines, rather than calculations, will inform differential workload consideration so that a quantitative formula is avoided since it promotes "gaming" the system and unproductive paper work**
- **We will not be numerically assigning differential weightings, e.g., thesis committee weighs .5 of supervisor. This differential consideration is part of the Director's workload assignment**
- **Although workload generally reflects flexibility and adaptability within accepted annual agreements, workloads may be further adjusted when there are real exceptional needs that may arise under unusual circumstances as identified by the Director and approved by the Dean (see also Article 20.04 of the Collective Agreement).**
- **The Director has responsibility for the interpretation of the Faculty of Health guidelines and assignment of workload, and advises the Dean**
- **Workload is presented on a standard workload reporting form that indicates assigned duties in terms of research and scholarship, teaching, and service. At the beginning of each year and after workload has been established and signed off, unit members have the opportunity to view workload reporting forms within their unit. While workload reporting forms aim for fairness and transparency, they are different from and additional to the Collective Agreement Annual Reporting Form, whereby annual activities and accomplishments must be reported (Article 20.07)**

For example, such a document includes information on

- course number
- course specifics (whether shared teaching, class size, evaluation demands, availability of markers or assistants, etc.)
- guest teaching
- documented research time, but little detail on research, except to substantiate research workload
- service activities

3. Research Workload

Research workload is granted on a performance basis

Research involves efforts to enhance scientific and societal understanding with demonstrated continuing activities whose results are disseminated through peer-reviewed activities. (See also article 17.17 – 17.19 of the Collective Agreement).

Research Productivity is the consistent input into conference presentations, consistent output of peer-reviewed activities, peer-reviewed publications, generation of external funding, professional reports based on research and research contracts.

Research Potential, as evidenced by interest, conceptualization, commitment and making progress, will also be considered (see also Collective Agreement, clauses 17.17 – 17.19).

For example:

- Demonstrated continuous research activity would mean 1½ peer-reviewed publications per year in journals or 1 peer-reviewed publication and one other contribution, such as a book chapter etc., averaged over a 3-year period. In the case of books, co-authors and number of pages will be considered.
- External funding received will be evidence of research productivity.
- Units will be charged with developing research productivity specifications suitable for their disciplines.

4. Teaching Workload

- **All workloads include teaching and teaching-related activities**

This principle ensures that the teaching requirements of units are met.

- A satisfactory level of quality teaching includes fieldwork/clinical teaching, coordination, supervision and most other instruction given by faculty to students, including distance teaching. (See also article 17.11 – 17.16 of the Collective Agreement).
- Quality of teaching is evaluated through student and, possibly other methods of evaluation.
- Shared teaching will be apportioned according to relative involvement in the course.
- Workload consideration will be given for:
 - teaching courses for the first time
 - adopting innovative teaching strategies
 - development of distance education courses

- large classes (see below), classes with special requirements, classes with abnormally high evaluation requirements or especially demanding thesis supervision
- **There is a core teaching load within the Faculty**
- **Teaching versatility is reflected in workloads**

Teaching versatility means that some people are able to teach more subjects than others.
- **Clinical/field-work instruction is teaching and coordination can be considered as teaching or administrative service**
- **Grad courses are weighed similarly to undergraduate courses except that for undergraduate courses class size will also be considered in conjunction with the availability of teaching assistants, markers or both**
- **Below a minimum class size, faculty will not be granted a teaching credit except as Directed Reading and Directed Project courses**
- **Each faculty member is required to fulfill a minimum number of student contact hours (office hours)**
- **Additional or reduced teaching will also be based in part on administrative and service duties**
- **Funded research and other objective measures of research productivity may offset teaching responsibilities**
- **Once teaching workloads have been finalized for each academic year, they will be made available to all members within their academic unit on a standardized workload reporting form**

5. Administrative Workload

- **All workloads include administration**

Administrative service includes service to the School/College, Faculty, and University, such as membership on committees, service to the Association, service to the profession, the wider community and to society. Clinical/Fieldwork coordination can be considered administrative or teaching service. (See also article 17.20 of the Collective Agreement).

- **There may be differential workload consideration for committee/administrative leadership versus participation**

6. Other Workload Considerations

- **Professional**
 - **Professional contributions are assessed in workload and will be valued in the context of overall unit workloads**

Professional contributions include membership in a professional society, acting as reviewer of profession-related documents and providing instructional or other consultations to external agencies.

Scholarship

Scholarship involves individual effort to maintain currency in one's discipline and profession. (See also article 17.17 – 17.19 of the Collective Agreement).

'Other' scholarly work, e.g., editorial board membership, will be assessed and valued in the context of overall unit workloads

- **Competency-based practice will be assessed and valued in the context of overall unit workloads**

By competency-based practice we mean practical skills exhibited as, for example, in clinical teaching.

- **Educational pursuits, i.e., doctoral studies, may be assessed as part of workload but will be considered in the context of unit workloads so long as they do not increase other faculty members' teaching loads or otherwise interfere with the smooth functioning of units**
- **Professional development necessary to maintain competency in changing teaching environments, such as distance education and Internet proficiencies, will be considered within the workload context**
- **Professional development that is unit prioritized and involves special projects, such as New Ventures development, interprofessional partnering, may be assessed as part of workload within the context of unit workloads**
- **Extramural activities are assessed for compatibility with workload and performance in accordance with the Collective Agreement**

7. Workload Models

MAC also considered three workload models reflecting employment conditions, performance, and career stages of faculty members. Because of the inherent diversity in the Faculty of Health, units determine course equivalencies. Teaching-related activities, such as preparation, student contact, supervision of field students, advising, directed reading, interprofessional modules, internship coordination, thesis supervision, etc. will be bundled at the unit level to derive the teaching-related activities and course equivalencies.

A. Limited Term Workload:

100% Term appointments or Renewable Limited Term appointments not leading to probationary tenure track would have workloads exclusively related to teaching and administration. It is believed that the maximum teaching workload for any faculty member should be 4 full course-equivalents, i.e., 24 credits plus other teaching-related activities. They will also assume administrative duties of approximately 20-40% time. [In comparison, part-time faculty members are generally assigned 8% time per 3 credit hour course during the teaching term.]

Because it is possible that some units have the concern that few persons may be fully qualified to provide the equivalent of four full courses in a diversity of subject areas in a quality manner, Directors, in conjunction with their faculty and with the approval of the Dean, may adjust the following model so that a higher percentage of administrative work or work that supports the research mission of the unit can be incorporated.

Examples of Teaching/Administrative Contributions with No Research Workload

60% Teaching = 3 course equivalents (18 credits for approximately 48% time plus 12% for other teaching-related activities)

40% Administrative Service

80% Teaching = 4 course equivalents (24 credits for approximately 64% time plus 16% for other teaching-related activities)

20% Administrative Service

B. Untenured Workload (PTT, TT):

Untenured faculty members would be given the opportunity to demonstrate that they can meet the criteria for tenure in the domains of teaching, research and administration. They are offered protected research time in order to develop an

independent research program during their pre-tenure years so that sufficient time is available to permit tenure criteria to be met. Professional activities would be assigned within administration.

40% Teaching = 2 course-equivalents (12 credits equivalent to 32% time plus other teaching-related activities for an additional 8%)

40% Research

20% Administrative Service

C. Tenured Faculty Workload:

Tenured faculty members would be assigned workload according to their performance and agreed upon workload principles. Research workload, in particular, should be earned on the basis of productivity.

The minimum teaching workload in the Faculty should be one course-equivalent (6 credits). On rare occasions and under exceptional circumstances it may be possible to receive a reduced teaching load of ½ course-equivalent (3 credits). This would be assigned based on outstanding research productivity.

For tenured faculty members who are not assigned research workload, career progression through the ranks should be recognized on the basis of performance in the teaching and administrative areas.

Other faculty members would increase their administrative contribution or increase their teaching contribution towards that of the limited term appointment. For example, those who have an 80% teaching workload will have many teaching-related activities (supervision, advising, thesis supervision, directed reading, interprofessional module activities, internship coordination). Clinical/ fieldwork instruction with students is teaching, whereas Fieldwork coordination can be considered towards administrative or teaching service.

30-80% Teaching

50-0% Research

20-40% Administrative Service

Examples of Teaching/Research Combinations with 20% Administrative Service

25% Teaching = 1 full course-equivalent (6 credits at 16% time plus 9% other teaching-related activities)

55% Research

40% Teaching: see untenured workload

50% Teaching = 2 1/2 full course-equivalents (15 credits at 40% plus 10% other teaching-related activities)

30% Research

60% Teaching = 3 full course-equivalents (18 credits at 48% time plus 12% other teaching-related activities)

20% Research

80% Teaching = 3 full course-equivalents (18 credits at 48% plus 32% other teaching-related activities)

0% Research

Other Examples

50% Teaching = 2 1/2 full course-equivalents (15 credits plus all other teaching-related activities)

25% Research

25% Administrative Service

25% Teaching = 1 full course-equivalent (6 credits plus all other teaching-related activities)

40% Research

35% Administrative Service

50% Teaching = 2 1/2 full course-equivalents (12 credits plus all other teaching-related activities)

10% Research

40% Administrative Service

Note: A course equivalent includes a standard percentage per course plus other associated teaching. Units may specify course equivalencies further.

8. **Definitions**

Administrative service includes service to the School/College, Faculty, and University, such as membership on committees, service to the Association, service to the profession, the wider community and society. (See also article 17.20 of the Collective Agreement).

Competency-based practice means practical skills exhibited as, for example, in clinical teaching.

Fair share means that contributions made by joint or part-time faculty, excluding sessionals, will include, as a minimum, teaching and administration.

Larger units are the School of Social Work, School of Health & Human Performance, School of Nursing and School of Human Communication Disorders, and the College of Pharmacy.

Normal working hours/week means the hours required to fulfill all weekly workload responsibilities.

Professional service includes membership in a professional society, acting as reviewer of profession-related documents and providing instructional or other consultations to external agencies.

Recognized activities are those duties assigned and reported on the standard workload reporting form.

Research involves efforts to enhance scientific and societal understanding with demonstrated continuing activities whose results are disseminated through peer-reviewed activities. (See also article 17.17 – 17.19 of the Collective Agreement).

Research Productivity is the consistent input into conference presentations, consistent output of peer-reviewed activities, peer-reviewed publications, generation of external funding, professional reports based on research and research contracts. Research potential, as evidenced by interest, conceptualization, commitment and making progress, will also be considered when judging research productivity.

Scholarship involves individual effort to maintain currency in one's discipline and profession. (See also article 17.17 – 17.19 of the Collective Agreement).

Teaching includes fieldwork/clinical teaching, coordination, supervision and most other instruction given by faculty to students, including distance teaching. (See also article 17.11 – 17.16 of the Collective Agreement).

Units' needs are considered to be those efforts expended that are necessary to fulfill a stated mission, including core clinical and administrative functions and research. Needs are identified and defined by a unit's faculty and Director in the context of the Faculty and University's missions.

Workload equity and fairness involve the consistent application of workload assignments, workload principles, and recognition of the value of the work performed within a framework of flexibility.

Workload means the full range of academic responsibilities, including all teaching-related activities, research and scholarly work, library, extension and administrative work, all service-related activities (clinical, committee, professional, public) and all

relevant criteria and standards applicable to probation, promotion and tenure. (See also articles 20, 21 and 22 in the Collective Agreement).

8. Sample Workload Reporting Form

The Workload Reporting Form can be found on the [Faculty of Health website](#) under [“Policies and Procedures.”](#)

**Faculty of Health
Dalhousie University**

**Policy on Minimum Enrolment for FHP Courses and Programs
Approved by Faculty Council, April 2011.**

In January, 2010, Faculty Council approved a set of guidelines for minimum enrollments in courses offered in the Faculty of Health. School/College Directors have suggested that these guidelines (which have been modified slightly) be strengthened by promulgating them as a Faculty policy. The Management Advisory Committee has reviewed and agreed with this policy document.

The Faculty recognizes that the Clinical Vision Science program and the QEII/Dalhousie School of Health Sciences programs were established with the clear understanding that program and course enrollments would be low. These low enrolments are reflected in the separate funding for the programs from the Government of Nova Scotia and in the workload determinations of faculty associated with them.

Many of our programs offer courses, required or elective, that have low enrollments for a variety of reasons. When responsibility for teaching such courses is included in the workload assignments of faculty in the respective Schools/College, issues about the effective and efficient use of Faculty resources come to the fore. It is the responsibility of School/College Directors to make decisions about when to offer or not offer, or when to cancel, courses with low enrolments. This policy is intended to facilitate those deliberations by setting boundaries.

Courses that are part of *undergraduate programs*:

- Undergraduate courses, elective or required, with fewer than 12 registrants will not normally be offered in the Faculty.
- When the Director deems it prudent to offer an undergraduate *elective* course that is anticipated to have fewer than 12 but more than 4 registrants, no more than one such course will be offered or taught in the School/College in a given academic year with usual faculty workload credit, and the course will not be offered again without at least a one academic year lapse. A course offered with 4 or fewer registrants will be treated as if it were a Directed Readings course and assigned a small nominal teaching load credit (e.g., 1% or 2) in the formal workload of a faculty member.
- A *required* undergraduate course with fewer than 12 but more than 4 registrants may be offered for up to two consecutive years with usual workload credit after which it will be removed from the calendar with the content incorporated into other courses or other parts of the curriculum as deemed appropriate by the School/College. A course offered with 4 or fewer registrants will be treated as if it were a Directed Readings

course and assigned a small nominal teaching load credit (e.g., 1% or 2) in the formal workload of a faculty member.

- When a course is cancelled due to low enrollment, a reassignment of workload for the faculty member of record will follow in the current or following academic year. If the course was to have been taught by a part-time faculty member, the contract will be cancelled in accordance with provisions in the CUPE Collective Agreement (Article 14.10b).

Courses that are part of *graduate programs*:

- Graduate courses, elective or required, with fewer registrants than 50% of the average number of annual admissions to the School/College's graduate program, or with fewer than 6 registrants, whichever is less, will not normally be offered in the Faculty.
- When the Director deems it prudent to offer a graduate *elective* course that is anticipated to have fewer registrants than 50% of the usual number of annual admissions to the School/College's graduate program which the course is part of, or with fewer than 6 registrants, whichever is less, no more than one such course will be offered or taught in the School/College in a given academic year with workload credit and the course will not be offered again without at least a one year lapse. A graduate course with 3 or fewer registrants will be treated as if it were a Directed Readings course and assigned a small nominal teaching load credit (e.g., 1% or 2) in the formal workload of a faculty member.
- A *required* graduate course with fewer registrants than 50% of the usual number of annual admissions to the School/College's graduate program which the course is part of, or with fewer than 6 registrants, whichever is less, may be offered for up to two consecutive years with workload credit after which it will be removed from the calendar with the content incorporated into other courses or other parts of the curriculum as deemed appropriate by the School/College. A graduate course with 3 or fewer registrants will be treated as if it were a Directed Readings course and assigned a small nominal teaching load credit (e.g., 1% or 2) in the formal workload of a faculty member.
- Having to cancel courses due to low enrollment will be a signal that calls into question the viability and sustainability of a degree program. In such a circumstance, the Director and Dean will consider options for dealing with the matter both immediately and in the longer term and bring a recommendation to Faculty Council.
- When a course is cancelled due to low enrollment, a reassignment of workload for the faculty member of record will follow in the current or following academic year. If the course was to have been taught by a part-time faculty member, the contract will be cancelled in accordance with provisions in the CUPE Collective Agreement (Article 14.10b).

Faculty of Health

Guidelines for Assigning Research Workload Beyond Tenure

Introduction

The October 2000 approved workload policy of the Faculty of Health states that the normal expectation of any untenured member of faculty is a 40:40:20 workload (40% teaching, 40% research, and 20% administration and other activities). Tenured faculty members are assigned workload accordingly on an individual, rather than pre-determined, basis. Research workload may range from 0% - 80%. Research workload is granted on the basis of performance and this is measured on the basis of research activity.

It is the aim of this document to aid primarily tenured faculty members in their efforts to increase or sustain their research productivity through the appropriate assignment of percent of workload allocated to research. The research productivity of members is demonstrated through their contributions to the growth of knowledge in their field and its dissemination, their role in furthering research activities at Dalhousie University, and their contributions to the knowledge acquisition of students.

For the purpose of this document, research is defined as:

"original investigation undertaken in order to gain knowledge and understanding."

*(Research Assessment Exercise in 2001 - Guidance on Submissions RAE 2/99:
www.niss.ac.uk/education/hefc/rae2001/2_99.html).*

The following definition of research productivity is based on the Dalhousie University Collective Agreement between the Board of Governors and the Dalhousie Faculty Association and is defined as:

Involvement in consistent peer-reviewed activities within the framework of a research program that increases knowledge and understanding, the generation of appropriate partnerships and resources, the improvement of scholarly or professional competence, and the improvement of teaching (Collective Agreement 17.17).

The Dalhousie University Collective Agreement states that "it is the responsibility of Members to make the results of their research or scholarly activities available when appropriate for review and assessment...", and that "research carried out under contract may be considered as evidence of the Member's scholarly activity or reputation, and it will be assessed as research if the results of the work are available to others and meet acceptable standards of scholarship as judged by peers" (CA 17.19). Activities, therefore, are assessed in relation to these objectives

and take into account the quality, not merely quantity of such activities (Collective Agreement 17.17).

Despite the variety of research undertakings within the Faculty of Health and the challenging nature of assessing these activities, it is possible to arrive at research activity indicators that relate to an individual's research program and that may be applied to assign research workload mindful that research productivity is not necessarily assessable annually but often requires a review of research activities over a period of several years. It is important to note that this document does not address the application of the indicators themselves, i.e., the procedure by which workload is assigned, but rather provides the kind of indicators to be used.

Two sets of indicators are identified: those relating to research development which signal promise for future research, and those related to research productivity, i.e., realized outcomes of research. The two sets of indicators are outlined below.

Indicators of Research Development

- a) Relationship development (establishing networks, appropriateness of networks to overall program of research)
- b) Partnership development (partnerships and cooperative arrangements initiated, existing, and concluded, i.e., building & collaborating with external partners to advance research, to move research to policy or both)
- c) Mentoring other investigators on resource acquisition
- d) Grant submissions (how many? re-submissions, which agencies/companies?, appropriateness of funding agency in relation to overall program of research)
- e) Organizing presentations, symposia (being discussant, facilitator, organizing content, conference/symposia theme)

Indicators of Research Productivity

- a) Peer-reviewed grants (e.g., awards from international, national or provincial funding agencies; amount and duration)
- b) Other peer-reviewed grants (e.g., local awards, amount and duration)
- c) Investigator status (e.g., Principal investigator, Co-Principal investigator, co-investigator, collaborator, member of research team, explain if other)
- d) Contracts (indicate appropriateness of contract work in relation to overall program of research; amount and duration)
- e) Other research funding (source; amount and duration)
- f) Peer-reviewed publications (full citation, indication of journal impact, if applicable)
- g) Non peer-reviewed publications (proceedings, authoring proceedings, books, chapters, electronic [World Wide Web], manuals, methods, book reviews [national, international] scholarly & professional reports)
- h) Contribution to publications (for all publications, indicate substantial contributions to: conception & design, or analysis & interpretation of data; to drafting the article or revising it critically for important intellectual content; and on final approval of the

version to be published. [Note: Participation solely in the acquisition of funding or the collection of data does not justify authorship].)

- i) Peer-reviewed presentations (e.g., oral, poster, invited panelist, at local, regional, national or international level)
- j) Other scholarly products (e.g., software, patents)
- k) Non peer-reviewed presentations (e.g., oral, poster, invited panelist, at local, regional, national or international level)
- l) Public dissemination (media requests, interviews, industry, community)
- m) Impact of scholarly output (awards & honours received, editor awards, requests for reprints, methods, where reviewed, graduate student achievements)
- n) Extent and quality of senior honours and graduate student thesis advising
- o) Research-related training of junior faculty and research staff
- p) Activities as peer reviewer (review panels, external reviewer, editorial board)

Scenarios of Percent of Research Workload Allocation

Below are five illustrations or scenarios of how the research activity indicators may be used to distinguish different percentages of research workload . These are examples only.

Low percentage of research workload: No national/other peer reviewed funding, contract or other scholarly funded project; One or two annual presentations at regional or national conferences per year; Less than one scholarly peer-reviewed publication per annum; Participation as a reviewer for two-four scholarly applications or publications per annum; Can identify at least one research partner and collaborates with that partner to the extent that at least one funding application or peer reviewed publication is submitted per annum. (Research workload 0-20%)

Low/Moderate percentage of research workload: at least one provincial peer reviewed funded grant every three years, at least one presentation at a regional/national conference every two years, one published article published every two years, a collaborator/member of research team on a national research grant submitted by a colleague. (Research workload 20-35%)

Moderate percentage of research workload: At least one national peer reviewed funded multi-year grant, contract, or other scholarly funded project in progress. Two scholarly peer-reviewed publications on average per annum. At least two annual presentations at regional or national conferences. Mentoring of graduate students, and supervision of at least one research staff. Member on editorial or review board for scholarly publications or applications (provincial or national level). Potential for research development indicated by funded or submitted projects that include development of research partnerships with some partners beyond the Faculty of Health or Dalhousie University. Unfunded projects are at pilot stage with identifiable plans for funding or in-kind support. (Research Workload 35-50%)

Moderate/High percentage of research workload: At least one provincial/national peer reviewed funded multi-year grant every three years, 2-3 peer reviewed publications on average

per annum, receives invitation to present at one peer reviewed national or international conference presentation every two years, active in mentoring of research staff/students, co-investigator on a nationally peer-reviewed research grant led by a colleague, some peer review activities at the national level. (Research workload 50-65%)

High percentage of research workload: Leadership as an investigator on more than one national peer reviewed funded grant, contract, or other scholarly funded project in progress simultaneously. Three or more scholarly peer reviewed publications on average per annum. Mentorship of graduate students, post-doctoral students, and supervision of more than one research staff. More than two annual presentations at national or international conferences, with some presentations by invitation. Leadership as chair or member on national peer review research funding committees or editorial board. Involved in national/international research network by way of projects that include multiple partners and multi-sites, or which demonstrate linkages for funding, in-kind support, data collection, and peer reviewed and/or non-peer reviewed dissemination of results. (Research workload 65-80%)

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Addendum to the Administrative Guidelines for Directors
for the Assignment of Academic Workload

William Webster, Dean

November 20, 2014.

This Addendum describes an adjustment that the Dean of the Faculty of Health has made available as an alternative to the usual academic workload assignment processes and procedures. The goal is to implement a framework for the assignment of academic workload so that, on the one hand, the workload of individual faculty members with varying nominal teaching workload expectations (as defined by the nature of their academic appointment) can be assigned equitably by the Director in accordance with the priorities and needs of the School while, on the other hand, the spirit, intent, principles and expectations of the Faculty policy and guidelines for workload assignment are respected.

Current guidelines in the Faculty policies and guidelines on workload are framed as being “faculty-member centric”, with the focus of the distribution of workload elements (teaching, research, service) being on individual faculty members in contrast to “unit-centric” framing with the focus being on the distribution of workload elements across the unit as a whole.

The usual model in the Faculty of Health is for workload to be assigned to individuals according to the distribution guidelines for teaching, research and service (e.g., 40/40/20) as described in the Faculty Workload document for career stream appointments. The Department of Anatomy and Neuroscience, among others in the Faculty of Medicine, appear to have adopted a different and more unit-based approach to workload so that the “idealized” 40/40/20 distribution of teaching, research and service (“idealized” as 40/40/20 at least in a unit with all tenured faculty) is applied to the department as a unit and not necessarily to individuals, with the consequence that there may be considerable variation among faculty members in the distribution of their individual teaching, research and service responsibilities.

To elaborate on this model further, if a School/College is comprised solely of tenured and tenure track faculty beyond the first two years of appointment, the expected 40/40/20 distribution would apply across the department as a whole even though individuals may have distributions quite different from 40/40/20 (e.g., 60/20/10, or 15/55/30). To the extent there are limited term faculty, for whom the norm in the guidelines is between 60-80% teaching, the distribution across the unit could be shifted towards more teaching in the unit as a whole and less research/service. Conversely, to the extent there are faculty who have received Faculty or University supported reductions in teaching in recognition of research or administrative activities, the distribution across the unit could be altered towards more research and less teaching (unless sessional replacements have been approved by the Dean).

This new framework for Schools/College should provide a Director with the flexibility needed to assign workload elements to individual faculty members as he/she believes is necessary to develop and maintain a high functioning and productive unit while at the same time respecting all the provisions of the workload document.

Implementing the framework:

Under this framework, the Dean will review the Registrar's timetable and registration data from the School for the year and any changes in curriculum or courses approved by Faculty Council/Senate, and will approve by January 15 of each year the calculation of the number of course sections (or comparable teaching assignment slots like internship coordinator, etc.) that are required to be filled for the following academic year. This will be referred to as the "Needs List". The Dean will also provide a list of faculty members in the unit who are to be assigned teaching workload, and it will indicate for each faculty member the number of course sections that are associated with the type of appointment held by the individual. Across the unit as a whole, this list will be referred to as the "Teaching Capacity List". This latter list will also indicate the number of sessional instructors that the School may hire in the coming academic year.

The Director then matches those lists and assigns workload to individual faculty members in any way he/she regards as appropriate, subject to the Collective Agreement, and provided that each faculty member has a 100% workload assignment or an assignment pro-rated to the FTE .

As a hypothetical example, under the Faculty workload guidelines, 10 tenured faculty members should have the capacity to be assigned to 40 course sections plus student supervision, and an additional 2 limited faculty would bring the capacity to 52 sections. If the Dean has approved the School to offer 56 sections of courses, those are to be filled with the faculty members in any way the Director decides is appropriate and based on operational needs, and the remaining 4 sections would be covered with sessionals. Or if there are only 48 approved sections to be filled, then no sessional lecturers would be needed and the unit as a whole would have some extra teaching capacity available for reallocation to research or service. If continued surplus capacity exists year after year, reductions in limited term faculty and replacement by sessionals would have to be considered.

In moving forward, it is assumed that unless there is explicit agreement to the contrary by the Dean (based on curricular/enrollment/budgetary considerations), the distribution of enrollment across course sections and the number of courses/sections to be offered from one year to the next will remain essentially unchanged from the present time, and that Faculty guidelines on minimal course enrollments will be fully respected.

A workload assignment form for each faculty member (except for ones who are in the process still of being appointed) will be completed and recommended by March 20th by the faculty member and the Director, as is currently the case. The recommendations for individual workloads would then be reviewed and, based on a consideration of a report from the Director confirming the teaching needs of the school, the teaching capacity of faculty in the School, and the proposed number of sessional appointments to be made to meet needs that cannot be met through the faculty teaching assignment, could be approved by the Dean.