

**Workload Implementation Guidelines
for Tenure-Track and Tenured Faculty
College of Fine Arts, Humanities, and Social Sciences
FINAL DRAFT: 1/13/2016**

I. Overview

The standard teaching load for full-time faculty is 18 credits per academic year. Also as defined in the Contractual Agreement between The Board of Trustees of the University of Massachusetts and The Massachusetts Society of Professors/Lowell (MSP Lowell Contract; Article XVI, G. 2, p. 81), “The teaching load assignment for each individual faculty member will consist of at least three contact hours per semester (exclusive of thesis supervision) and at least 200 student credit hours per academic year, or direction of graduate thesis or equivalent combination during each semester”.

As specified in the MSP Lowell Contract (Article XVI Workload, H. 1.), “Each of the colleges of the University should have an equitable opportunity for providing reduced teaching load to the faculty for the purpose of enhancing and improving their institutional research productivity” (p. 82). In accordance with provisions of this contract, the College of Fine Arts, Humanities, and Social Sciences has established these guidelines for implementation. It is critical to recognize that these guidelines are not intended to replace in any manner articles related to workload that are included in the MSP Lowell Contract. As specified in the recent changes to Article XVI Workload, the teaching load is 15 credits per academic year for those faculty who meet the criteria of being Research Active, 12 credits for those who meet criteria for being Research Productive, and 9 credits for those who meet criteria for being Research Intensive.

Reductions in teaching load based on research are determined through application, review, and approval process that begin in the Fall of one year to be applied during the subsequent academic year. This timing is to facilitate the creation of the schedule of course offerings. Faculty who receive reductions in teaching load for being Research Active, Research Productive, and Research Intensive are still required to carry out service responsibilities as described in the MSP Lowell Contract. Major service that qualifies for the purpose of reduction of teaching load is described in these Workload Implementation Guidelines.

New tenure-track faculty members are expected to be Research Active and thereby do not need to apply to have a teaching load of 15 credits during their first academic year. Those who have within the past two years prior to hire published work or creative accomplishments will receive Research Productive status (2-2 teaching load) during their first year at the University. Research Active or Productive status may be extended into the second year based on faculty petition to the Dean, supported by Chair, with determinations made based on the faculty member’s progress toward further accomplishments as defined in Section IV below. Sabbaticals affect the implementation of this workload policy in that a faculty member on 3-2 or 2-1 load who takes a one-semester sabbatical must consider that semester to count against the lower teaching load and will carry the higher teaching load in the non-sabbatical semester. Those who take a pre-tenure sabbatical will carry the lower teaching load in the non-sabbatical semester. In addition to reductions granted through this workload policy, faculty members can reduce their teaching load by one course per semester at the rate of 1/9 of their semi-annual salary per credit, up to a maximum of \$15,000, as provided in the MSP Lowell faculty contract using funds from external grant(s) or contract(s) that are administered through the University’s Office of Research

Administration. Faculty granted these additional funded reductions must teach a minimum of one course per semester, unless a waiver below this minimum is granted by the Provost.

II. Research Active, Research Productive, and Research Intensive

The goal of all faculty members should be the dissemination of research through scholarly accomplishments as described in Section IV. The distinction between the three categories of Research Active, Research Productive, and Research Intensive acknowledges that research is a process as well as having a product, and that timing, magnitude, complexity, and outlet quality need to be part of the review process.

A. Research Active

As provided in the MSP Lowell faculty contract, Research Active faculty shall be defined to include a faculty member presenting a paper at a national, regional or international conference, submitting a research proposal, or preparing a manuscript for publication, subject to the guidelines spelled out in Section X below. Research Active status shall also be available to those who have produced a book, article, book chapter, creative work, research report, or other qualifying scholarly or creative output that meet the requirements set forth in Section X below. The Department Personnel Committee, consisting of tenured faculty and constituted as specified in Article VIII of the Collective Bargaining Agreement, will determine whether the faculty member qualifies for Research Active status. The Department Personnel Committee's determination shall be sent to the Chair and Dean who will review to ensure compliance with above criteria and implement assignment of courses accordingly. Faculty who are thus recommended are granted a one-course release for the academic year.

B. Research Productive

The 12-credit teaching load for Research Productive status is based on meeting criteria for being Research Active and evidence that the faculty member has achieved an accomplishment as specified in Section IV of these guidelines.

C. Research Intensive

The 9-credit teaching load for Research Intensive status is based on meeting criteria for being Research Active and evidence that the faculty member has achieved accomplishments as specified in Section IV of these guidelines.

D. Deferred Credit for Research Output

In recognition of the occasional irregular timing of academic output, faculty who otherwise meet criteria for Research Active status may apply for Research Productive status on the basis of prior publications or creative output that was produced outside the timeframes specified in Section IV.B.2. To achieve Research Productive status under this provision, the following must apply:

- 1) During the current review period, the faculty member must provide evidence that he/she has made substantive progress on research or creative activity that is likely to result in creditable output during the subsequent review cycle (e.g. having an accepted article or book chapter in press, having completed data collection for a major research project);
- 2) The prior publications or creative output must not have been used for previous course reduction credit, and must have been produced no more than one year beyond the timeframe specified in IV.B.3e. (e.g., an article published within the past two years or a book published within the past 4 years would be eligible for such use). At the discretion

of the Dean, these timeframes may be extended for faculty serving as Chairs or Associate Chairs, or who have taken on other major administrative roles.

III. Application, Recommendation, and Decision Processes for Research-based Teaching Load Reduction.

A. Application

Faculty members submit their application to their department Chair by the second Monday in January preceding the applicable academic year, using the College-approved form and listing new accomplishments provided for in Section IV that were achieved in the previous calendar year. For example, by 1/11/2016 (or as soon thereafter as is reasonable based on when this new policy becomes effective), faculty would list accomplishments from calendar year 2015 to qualify for workload reductions that would take effect in academic year 2016-17. To facilitate the transition from the prior workload timetable, faculty workloads for 2016-17 will be based on new accomplishments going back to November 1, 2014. If the Department Chair is applying for a reduction in teaching based on these guidelines, the Chair applies directly to the Dean.

B. Recommendation by Department Personnel Committee to Chair

By the third Monday in January, the Chair will make the faculty workload forms available to the Department Personnel Committee, which will then make recommendations to the Chair regarding faculty members deemed to qualify for Research Active status. The Committee may also provide input to the Chair regarding faculty members' requests to be considered for Research Productive and Research Intensive. These recommendations shall be forwarded in writing to the Chair by the first Monday in February. Based on those preliminary recommendations, the Chair may begin to work on drafting the class schedule for the upcoming Fall semester, with the understanding that assignments and workloads are not final until the Dean's review is complete and course reductions have been approved.

C. Recommendation by Department Chair to Dean

The Department Chair makes a recommendation to the Dean regarding Research Productive and Research Intensive status for faculty members qualified for Research Active status by the Department Personnel Committee, based on whether submitted evidence of productivity meets the criteria as specified in these workload guidelines. The Department Chair may choose to consult with the Department Personnel Committee in this determination. The Department Chair notifies the Dean and the faculty member in writing by the ***third Monday in February*** specifying positive or negative recommendation including rationale for Research Active, Research Productive, and Research Intensive status.

The Department Chair provides the Dean with a copy of all materials submitted with the application. The faculty member has until the ***last Monday in February*** to submit an appeal to the Dean regarding a negative recommendation. The appeal must include the faculty member's reason for requesting this appeal. Additional information for the research plan and/or evidence of the accomplishment including the meeting of criteria can be provided with the appeal. The Dean will consult with the Department Chair.

D. Dean's Decisions

The Dean after reviewing recommendations from the Chair and reviewing faculty appeals, makes decisions regarding course reductions. The Chair and faculty member are informed of decisions by the ***second Monday in March, at which point Chairs make whatever changes are***

needed to their draft of the upcoming Fall semester class schedule. Only the Dean makes approvals for reductions in teaching. The Provost will review all approvals annually to ensure equity in workloads across the University.

IV. Accomplishments to Determine Research Active, Research Productive, and Research Intensive Status.

A specific accomplishment used to achieve Research Productive status can only be credited once toward a reduction. A previously submitted application for a reduction that has not been approved cannot be submitted again unless there is new substantial evidence that the criteria have been met.

A. Research Active

To qualify for “Research active” status, faculty must meet the following criteria:

1. Submit an annual Workload plan in accordance with established timeframes, and using the appropriate college form and have the plan approved by the Department Personnel Committee, the Department chair, and the Dean, as described in Section III above;
2. Provide evidence of research activity within the preceding calendar year, as defined by at least one of the following, and consistent with guidelines presented in Section X below:
 - a. Publication of a book, article, book chapter, creative work, research report, or other qualifying scholarly output meeting the requirements set forth in the supplement to these guidelines;
 - b. Lead editorship of a peer-reviewed journal under the terms set forth in the supplement to these guidelines;
 - c. Presenting a paper at a regional, national or international conference;
 - d. Preparing and submitting a manuscript for publication;
 - e. Preparing and submitting a funding proposal or having a proposal funded;
 - f. Preparing and submitting a research proposal.

B. Research Productive

1. Faculty meeting criteria for Research Active status as delineated above are eligible to apply for Research Productive status.
2. Faculty who used a publication or editorship as described in A2 above to qualify as Research Active may then use the same accomplishment to qualify for Research Productive.
3. Research productivity is defined by any of the following, provided that the accomplishment is consistent with the guidelines of Section X (The noted “credits” apply to the Research Intensive determinations as specified in subsection C below):
 - a. Authorship of a peer-reviewed journal article within the past year (1 credit);
 - b. Authorship of a book chapter in an edited volume within the past year (1 credit);
 - c. Authorship of a government- or prominent NGO-published technical research report within the past year (1 credit);

- d. Editorship of an edited volume or journal special issue that includes an authored introduction and/or conclusion within the past year (1 credit);
 - e. Authorship of a book within the past 3 years (3 credits);
 - f. Receipt of a significant external research grant of at least \$50K within the past year (1 credit);
 - g. One person regional, national, or international juried art exhibit within the past year (1-3 credits*);
 - h. Creative works that are commissioned, juried, invited, or peer-reviewed by external sources and shared with the public and/or scholarly community in print or public exhibitions or performances and that are of significant scope and prominence within the past year (1-3 credits*).
- * The range of credit value shown reflects the fact that there are variations in quality relating to the scope and impact of work and where a work is published or performed, variations in numbers and order of authors/artists, as well as variations between disciplines. In confirming an accomplishment, the Chair (who may consult with the department Personnel Committee) also recommends to the Dean the credit value of each verified accomplishment, consistent with the guidelines of Section X.
- 4. Upon recommendation of the Department Chair, in consultation with the Department Personnel Committee, faculty may also request and be granted credit toward Research Productive status based on other qualifying activities consistent with the guidelines in Section X below.
 - 5. If no new accomplishment has been verified from the past year, the faculty member may still be considered in accordance with the provisions of IID.

C. Research Intensive

Research Intensive (RI) status is intended for those Research Productive faculty members who have maintained exceptionally high levels of scholarly productivity *while also making substantial service contributions to the University*. Faculty who meet the threshold described below, and who demonstrate substantial service to the University, will be allowed to apply for RI status. Service activities that are compensated via stipend or course reductions are not included in this assessment. Records of substantial professional or community service may also be considered as part of the overall assessment.

Faculty wishing to apply for RI status should submit a letter of application to their Department Chair, to include a narrative justification indicating the basis for “exceptional productivity” status. This justification should provide evidence of the scope and impact of qualifying scholarly work, and evidence of significant service contributions to the department, college, or campus. The Chair will forward a recommendation to the Dean, based on a critical evaluation of the claims within the application. Determinations for research intensive status will be made at the discretion of the Dean, in consideration of the Chair’s recommendation and consistent with the guidelines of Section X.

To be eligible for and to apply for consideration for RI status, faculty must have amassed and be able to document a minimum of eight credits over the past three calendar years, based on any combination of the following:

- Any of the items shown in section IVB above

- Lead editorship of a book series or a peer-reviewed journal (1-2 credits)
- Receipt of significant research grant award (1-2 credits, based on size of award, irrespective of whether it provides a course buyout)
- Other qualifying activities consistent with the guidelines of Section X

To facilitate the transition to this new workload policy, the three-calendar-year period for determination of Research Intensive status for academic year 2016-17 shall be the calendar years 2013, 2014, and 2015. For determinations in future years, the three-year period will move forward one year each year (i.e., the determination for 2017-18 will be based on calendar years 2014, 2015, and 2016).

A faculty member whose accomplishments do not reach the threshold of 8 but whose work is of high quality as evidenced by such factors as the selectivity of a journal, the reputation of a publisher, positive reviews by recognized leaders in the field, citation indices and impact factors, etc., or whose level of productivity is exceptional as understood within that person's discipline, may, with the support of the Department Chair, submit a request for RI intensive status to the Dean, who, at his/her sole discretion, may grant it.

V. Non-Qualifying Accomplishments

While the items listed below are viewed as valuable contributions, they do not qualify as accomplishments for reductions in teaching beyond the level of Research Active:

- Course packets, self-published books, manuals, or supplemental readings.
- Conference presentations (except as noted above in IVA, these may be used to achieve Research Active status)
- Published proceedings or book reviews.
- Reprints or revisions/update of previously published materials.
- Newspaper or newsletter articles or letters to the editor.
- Being interviewed on radio or television.
- Blogs and other forms of contribution to social media.
- Except for newly-hired faculty, as noted in Section X below, accomplishments that are not affiliated with the University of Massachusetts Lowell.
- Encyclopedia entries
- Exhibitions, performances and presentations on campus (unless as part of some larger enterprise being hosted by the campus)

VI. Teaching Load Adjustment for Major Service.

Significant service contributions to Department, College or University may result in reductions in teaching and/or additional compensation. Adjustments in teaching loads for major service contributions as Department Chairs, Program Directors and Coordinators, Center Directors, or for College projects initiated by the Dean are determined either by the MSP Lowell contract or directly by the Dean in consultation with the Department Chair. When recommended, faculty members make the decision of whether to accept this major service responsibility. The official record of course releases granted is kept in the Dean's office.

VII. Course Reduction for Exceptional Levels of Student Supervision.

While it is understood that supervising student research is a core expectation of faculty service within the College, faculty members who take on exceptional levels of such responsibility may

be eligible for a course reduction. Course reductions will be available to faculty who accrue ten (10) or more credits over the prior two-year period, based on the following: Serving as a chair for a PhD dissertation (2 credits); serving as adviser for a Master's thesis or undergraduate honors thesis (1 credit). These supervising experiences must be in addition to a faculty member's teaching load. If the supervising experience continues for more than one semester, the faculty role is counted once in the total calculation. With documentation provided by the faculty member and verified by the Department Chair that the criteria have been met, a one-course reduction is awarded for a future semester to be determined by the Department Chair in consultation with the faculty member. Each semester the Department Chair submits to the Dean's office a list of faculty members who have met the criteria.

VIII. Teaching Load Adjustment Reporting

When the semester course schedule is submitted by the Department Chair to the Dean for review, an explanation of any approved reductions in teaching load needs to be presented.

The Dean, in consultation with Department Chairs, shall compile an annual report listing faculty members by Department for whom teaching load reductions have been approved, the number of reductions taken, and the reason for each reduction. This report is forwarded to the Provost.

IX. Authority of the Dean and Rights of Faculty Member

No provisions in this agreement shall be construed to abridge either the authority of the Dean to grant workload reductions, or the rights of faculty members provided in the MSP Lowell Contract.

X. Guidelines for Assessing Faculty Productivity

Because assessment of faculty productivity in scholarly and creative works is a matter of both quantity and quality, it is understood that the assessment of all accomplishments listed in Section IV requires academic judgment. The following guidelines are designed to assist in that assessment. It is also understood that assessment must take into account the variations that exist between disciplines.

A. Timing

- Peer-reviewed journal articles and qualifying research reports will be counted based on the date of publication, which must be documented at the time of the annual review (for example, with a reprint of the abstract page).
- When a journal article appears online ahead of print and is indexed on the journal's website, the faculty member may claim credit based either on the date of online publication **or** on the date of placement in a journal issue (but not both).
- Books and book chapters will be counted based on the date that the book's print edition becomes publicly available.

B. UMass Lowell Affiliation

All accomplishments described in this section must indicate affiliation with the University of Massachusetts Lowell, except that newly-hired faculty in their first year of service may include accomplishments in the calendar year under current consideration that reflect affiliation with another academic or research institution, and for the three-year period reviewed for Research

Intensive status may also include accomplishments that reflect affiliation with another academic or research institution during the two previous calendar years.

C. Conference Presentations

Faculty applying for Research Active status on the basis of a conference presentation must submit documentation of the accepted presentation (e.g. a copy of the program), as well as a copy of the accompanying paper. Credit will not be given for presentations that recycle material previously used for workload credit. The term “presentation” shall also include posters and keynote addresses, provided such activities can be documented in a conference program or letter of invitation/acceptance.

D. Unpublished Manuscripts

Faculty applying for Research Active status on the basis of a submitted (but as yet unpublished) manuscript must submit documentation of submission (e.g. a receipt from a journal editor), as well as a copy of the paper.

E. Articles in Peer-Reviewed Journals

Journals must be indexed, peer-reviewed in a manner consistent with some degree of rejection, and publicly available through a recognized and established publication outlet. Self-published materials or materials published through “vanity presses” are not eligible. The same paper (or any modified version of it) may not be used for subsequent workload credit upon publication and/or resubmission. Short notes, commentaries, brief reports, and other works of that nature do not constitute journal “articles.”

F. Unfunded Grant Proposals

Faculty applying for research active status on the basis of a submitted (but as yet unfunded) grant proposal must have submitted the proposal through the University. The faculty member must be listed as Principal Investigator or Co-PI. Proposals that only fund stipends or fellowships that go directly to the faculty member are not eligible. The same proposal (or any modified version of it) may not be used for subsequent workload credit upon funding and/or resubmission.

G. Research/Creative Works Proposals

Faculty applying for research active status on the basis of a submitted research or creative works proposal must have submitted the proposal or prospectus to an approving entity such as a publisher, a conference or exhibition organizer, or an institutional review board, and must be able to provide documentation that the proposal has been received.

H. Co-Authored and Co-Edited Works

For co-authored or co-edited works, credit is allocated based on two general categories:

- a. Contribution of 50% or greater (for which the faculty member receives all of the usual credit for that work); and
- b. Contribution of less than 50% (for which the faculty member receives half of the usual credit for that work).

The full credit of (a) is assumed when the faculty member is the lead author **or** when there are only two listed co-authors/co-editors. If the faculty member is not the lead author and there are more than two listed co-authors/co-editors, the de facto assumption is that the contribution is less than 50%. This may be re-evaluated by the Chair and the Dean on a case-by-case basis, based on

written justification from the faculty member and supporting documentation from the lead author attesting to the faculty member's contribution. Works co-authored with students will typically be given special dispensation.

I. Quality of Outlets

Degrees of credit awarded should reflect the quality of the venue where and/or by whom the work is published, presented, or performed, as measured by size and scope of audience or readership, impact factor, measures of selectivity, etc.

J. Journal or Book Editorship

- The editorship credit is awarded based on the following criteria:
 - The journal must be peer-reviewed, published at least four times per year, and indexed through an established database (e.g. EBSCO Academic Search, Lexis Nexis, Gale, ProQuest); the book must be in conjunction with a significant publisher.
 - The faculty member's UMass Lowell affiliation must be featured in the journal masthead and promotional materials.
 - The journal editorship must be declared at the time of the annual workload assessment.
 - Course credits are contingent on the faculty member's continued role as editor, and may only be taken during semesters in which the faculty member maintains that position. For example, if the faculty member steps down from his/her role as editor in December 2016, course credit cannot be claimed for the Spring 2017 semester.
 - No more than 1 article or chapter authored by the faculty member that appears in a journal or book edited by that faculty member may be counted for additional credit.

K. External Funding

- Faculty who receive external grant funding as PI or co-PI may be eligible for credit, depending on factors such as grant dollar amount (\$50,000 or more annually being the desirable threshold), project complexity, and benefits to the University (e.g. funding of students, prestige of grant award, publicity benefits).
- As part of the annual workload review, faculty applying for credit based on receipt of external grant funding must provide a written justification addressing the above-referenced areas.

L. Creative Works

- Faculty engaged in the field of creative arts as their main form of scholarship are eligible for course reduction credits based on public exhibitions or performances of their original work in recognized venues. The level of credit for course reduction will be based on the status and reputation of the venue, the scope of the exhibition, and general recognition within the field.
- Solo art exhibits involve the presentation of multiple works by the faculty member in a dedicated exhibit, at a museum, gallery, or public venue, and the amount of credit is dependent on whether the venue is widely recognized and acknowledged within the field, or is less well-known, or is a recognized museum or gallery.

- Sound engineering, musical composition, or musical or theatrical performance or production (live or recorded) involves the public release of original or newly-reinterpreted material in which the faculty member played a primary role, and the amount of credit is dependent on whether the outlet or venue is highly recognized within the field (for example, an established recording label or a well-known concert hall), or through a public outlet or venue that is less well known.
- Faculty who produce literary works (prose, poetry, drama, etc.) that appear in reputable outlets for such works may have such works count toward course release, and the amount of credits is dependent on scope of work, quality of outlet, size of readership, recognition by established reviewers, etc.
- Faculty engaged in the fields of musical or theatrical performance or production, musical composition, and sound engineering may be eligible for course reduction credits based on such activities as musical composition/arranging, audio engineering/production, theatrical work as designer, director, or performer, software design, patent acquisition, and performing or conducting.
- Faculty claiming course reductions for original creative work should, in line with the above guidelines and as part of the annual workload review, provide information regarding the status of the venue where the works were exhibited, published, or performed. To be eligible for credit, work must be new or newly-reinterpreted and not previously performed or released, and it should be commissioned, juried, invited, peer reviewed or auditioned by external sources. The Department chair will make a recommendation to the Dean regarding the amount of credit.

M. Guidelines for Other Qualifying Activities

Beyond the scholarly and creative output described above, faculty may petition for recognition of other activities and accomplishments that are of comparable stature within his/her respective field. Recognition of these activities, and the appropriate level of credit, will be made by the Dean in consultation with the Department Chair.

1/13/2016