ARTS DIVISION LADDER-RANK FACULTY WORKLOAD POLICY
October 2011

Responsibility for assigning courses lies with the chair of each department. Each department may establish internal policies consistent with the policy of the campus and division. Department policies are subject to approval by the division. Divisional policy, in turn, is subject to university and campus policy.

The overarching policy of UC Santa Cruz, and consequently of the Arts Division and its departments, is that each regular faculty member will teach five regularly-scheduled 5-unit courses, or their equivalent, per year in residence. This policy is referred to as the "Five Course Equivalent."

It is the policy of the Arts Division that each faculty member must teach a course workload, which fairly distributes their efforts between large lecture and smaller enrollment courses, and lower-division, upper-division, and graduate instruction.

It is also the policy of the Arts Division that each faculty member should have an aggregate enrollment generally comparable to that of colleagues in the same or similar disciplines and sub-disciplines.

Course equivalencies, which might be whole or fractional, fall into several categories:

1) Administrative course relief:
   a) will be awarded for service on certain Academic Senate committees, service as dean, provost, or department chair, above and beyond normal service expectations. The amount of course relief will depend on the complexity of the service and is usually governed by existing campus and/or divisional policy. For instance, annual service on CAP, CPB, or CEP is generally granted one course relief, service as provost is granted two course relief, and service as department chair is granted one course relief.

   b) A fractional course equivalency is given to all ladder-rank faculty in the departments in the Arts for instructional and non-instructional obligations which may include, but are not limited to:

   • departmental, divisional and campus administrative committee service;
   • holding regular office hours (at least two hours per week);
   • conducting independent studies;
   • mentoring and supervising graduate student instructors, teaching assistants and course assistants;
   • writing student letters of recommendation, if requested;
   • attending departmental and other committee meetings;
   • developing new courses and revising the curriculum, as needed; and
   • serving on graduate thesis / dissertation committees.
This “equivalency” is a privilege and is granted differentially to departments in the Arts based on enrollments and student credit hours, among other factors.

c) Administrative course relief may be granted on a discretionary basis when exceptional administrative needs arise. Examples of activity which might (but would not necessarily) qualify on a discretionary basis might be chairing a building committee or overseeing an unusually complex subdisciplinary program area. Additionally, acknowledging that serving as department chair while at the associate professor rank can distract from the normal professorial progression, departments have the option to offer such faculty an additional course relief or research funds, as the curriculum and resources allow.

From the UC Santa Cruz Principles for Department Instructional Workload Policy (http://planning.ucsc.edu/acadplan/docs/Principles.InstWrkld.Feb08.pdf):

Course release as a form of compensation should be judiciously used, especially for the burdens of departmental and administrative service. Alternative forms should be sought…to partially compensate for time taken from research activity.

2) Non-tenured faculty course relief: Although not automatic, course relief is sometimes granted to enable non-tenured faculty to advance their research careers. Non-tenured faculty may also fund course relief from their start-up funds. Chairs, in consultation with deans, may exercise discretion in awarding equivalency in this category. Equivalency in this category has traditionally been limited to a maximum of two courses of relief.

3) Externally funded course replacement: Occasionally, faculty members may be "bought out" by an external agency, typically a research-oriented foundation, which provides funding adequate to replace them (@ 15% of the faculty’s annual salary per course). Such course relief may be granted by the chair in consultation with the Arts Division. The guiding principle of the division in endorsing such relief is that the replacement must be of the same caliber as the loss and must be an exceptional rather than routine occurrence. Grant applications incorporating buy-out provisions must have prior approval of the department and the division.

4) Courses offered for less than five units: The instructor receives prorated course credit based on the number of units assigned to the course (each unit is equal to 20% of a five-credit standard – e.g., a two-unit course is equal to 40% of a standard course and the instructor receives credit for teaching .40 courses in the course audits and workload reporting.

5) Individual / group instrumental instruction: In conformity with national professional standards, nine hours per week of scheduled lessons for one quarter is considered equivalent to a 5-unit course.

6) Large musical ensembles and major theatrical productions: The demands of conducting or directing major public performances may warrant equivalency.

7) New course preparation: New course preparation is considered a normal requirement of faculty teaching responsibilities – which does not warrant equivalency. However, in exceptional cases, curricular emergencies within the department may demand that a faculty
member teach in an unfamiliar area, requiring additional preparation, which may warrant equivalency.

8) Individual study: Individual studies are normally undertaken at the faculty member's discretion and do not count towards the Five Course Equivalent workload.

9) Concurrent sections: If an instructor teaches more than one section of the same course in the same quarter, each additional section may count as equivalent to half a 5-unit course.

   Note: Chairs should use concurrent section scheduling judiciously. If there is capacity in the classroom or another classroom can be used for scheduling with greater capacity, it is more advisable to increase the size of the class rather than adding an additional section.

10) Other discretionary equivalencies: Special circumstances may arise which, while not falling under any of the above headings, are clearly deserving of consideration for course equivalency. In such cases, the chair should consult with the dean before affirming equivalency.

   Note that "equivalencies" can be for less than a full 5-unit course. For instance, an exceptional instructional or administrative responsibility might not warrant a full course equivalency every year, but might warrant such every other year.

Several other policy guidelines also apply:

As a general rule, no faculty member will be relieved of more than two courses per year while in residence (including the fifth-course equivalency); i.e., three actual courses per year is the minimum course workload.

As a general rule, every faculty member must teach at least one course per quarter in residence.

1) Non-Teaching Term: Stacking courses to produce a quarter in which no formal courses are taught is occasionally permitted allowing faculty to take advantage of exceptional research opportunities. Requests must be made in writing to the chair during the fall quarter of the previous year, at the same time as leave requests are made. They are subject to the approval of the chair. This restates and reinforces the authority and responsibility of chairs to manage the faculty resources in their departments with regard to scholarship as well as curriculum. Approval will depend on the department's curricular needs and should be balanced with other sabbatical and leave requests.

2) While there is no departmental limit on the number of faculty who may hold a non-teaching term in any given year, such arrangements will be approved on a case-by-case basis, to ensure that required courses are staffed and to maintain balance in the number of courses offered by the department each quarter. If several faculty request non-teaching term arrangements in the same year, the chair must ensure that the non-teaching quarters are evenly distributed over the academic year. Should it prove impossible to grant all requests, priority will be given to non-tenured faculty.
3) A non-teaching quarter is not to be considered a leave of absence; faculty are expected to have a significant presence on campus\(^1\), attend to normal administrative duties and to conform to campus and divisional policies\(^2\). Any absence from campus of greater than seven days must be requested and approved by the dean.

As a general rule, course equivalency is not granted in exchange for expanded research involvement, except as noted above under the non-tenured faculty relief or course buy-out provisions.

As a general rule, a course which is shared between two faculty members will only be counted as half a course towards the five-course equivalent. Exceptions may be negotiated if, for instance, both faculty members participate in all class sessions and enrollments are sufficiently large to warrant commitment of two course assignments. This is up to the discretion of the department chair and must be documented in the curriculum and leave plan cover letter for that academic year.

As a general rule, faculty are expected to attend all advertised class sessions. Norms for the Arts Division are a minimum of three and a half hours of classroom instruction per week for lecture and seminar classes, and a minimum of five and a half hours per week for studio/lab/ensemble classes. Absences must be reported to the chair as soon as possible – at least by the date instruction is affected. Extended absences must have prior approval in accordance with existing policy.

As a general rule, course relief for leaves will always be in the “lightest” teaching quarter. For example, for a 4-course/1-equivalency workload, a one-quarter leave would relieve one course with three courses expected over the remaining two quarters of the academic year. A two-quarter leave would relieve two courses with two courses expected in the remaining one quarter of the academic year. A three-quarter contiguous leave will relieve all four courses.

Faculty course workload is managed and monitored in the following ways:

Departments develop policies, which conform to the divisional policy and are approved by the division. In the absence of department policy, the divisional policy prevails.

Department chairs are empowered to assign faculty course workload in accordance with and within the limits of department and divisional policy.

The Arts Division asks each department chair to propose course assignments annually through the submission of curriculum and leave plans. For each regular faculty member, any equivalency granted must be noted and explained in writing. Some equivalencies (e.g., department chair and major Senate committee service) will require only cursory explanation. Where chairs are using discretion, more detailed justification will need to be presented.

The campus office of Planning and Budget accumulates regular faculty teaching workload information every year and makes it available to the departments and divisions every fall quarter

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\(^1\) APM 025 states “a faculty member is obligated to have a significant presence on campus, to meet classes, to keep office hours, to hold examinations as scheduled, to be accessible to students and staff, to be available to interact with University colleagues, and to share service responsibilities throughout every quarter or semester of active duty.”

\(^2\) APM 245 states “the chair may approve a leave of absence with pay for seven calendar days or less for attendance at a professional meeting or for the conduct of University business without submitting a leave of absence form.”
in a document called the course audit (http://planning.ucsc.edu/irps/crseaudits.asp). Course audits are reviewed to ensure that each faculty member’s previously projected course workload corresponds with his/her actual workload. Discrepancies noted by the division are referred back to the chair for explanation.

A faculty member with a reduced course workload, which was not approved, will be required to make up the deficiency. Conversely, faculty members who demonstrably taught overloads may be compensated by a commensurate reduction in course workload, if the budget and curriculum allows.

Course workloads which exceed or fail to meet departmental and divisional policy expectations are documented by the chair and dean in the course of faculty personnel evaluation letters. In addition to the negative impact on teaching evaluation in the personnel process, faculty members who fail to comply with course workload policies may be denied sabbatical leave.