

Research Faculty Policies and Procedures for Appointment, Evaluation, Retention and Promotion

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The policies and procedures contained in this document are in addition to the basic policies on non-tenure-track faculty outlined in the USC Policies and Procedures Manual and the Faculty Manual. In the event of inconsistency between the school procedures and University procedures, the University policies and the Faculty Manual are considered the final authority.

Research faculty play a central role in the development and operation of the Arnold School of Public Health (ASPH) and are critical to the successful pursuit of the School's research goals. This document describes procedures for appointment, evaluation, retention, reappointment, promotion, and management of research faculty.

I. Research Faculty Ranks

Persons with doctoral level training (i.e., Ph.D. or equivalent) may be appointed to the faculty of the Arnold School of Public Health in research faculty positions. Such appointments are made when the primary role of the faculty member is to have an independent research program that contributes to the discovery of new knowledge through research and support of research activities. These faculty members also provide professional service to their Department and/or Center, the School and the University. They may be expected serve as advisors to graduate students, and they may have formal instructional responsibilities. The research faculty track is appropriate for individuals who commit more than 50% effort to research activities and administrative responsibilities related to the school's research mission.

As specified in the University's policy on Unclassified Academic Titles (ACAF 1.06), a research faculty position is described as a full-time appointment of a faculty member engaged primarily in research. The research professor usually possesses the earned doctorate, other terminal degree or the equivalent and considerable experience in the research field. Appointment is on a temporary, annual or multi-year basis and service under such an appointment is not considered part of a probationary period for tenure consideration. This title can be expanded to research assistant professor or research associate professor as appropriate to the status of the individual.

In the Arnold School of Public Health, research faculty ranks are as follows:

Research Assistant Professor - Typically a research scientist serving in his/her initial academic appointment following completion of formal research training; he/she may begin service at this rank by working within the research program of a senior colleague, but is expected to develop an independent research program. A research assistant professor who aspires to promotion to research associate professor is expected to establish an independent research program.

Research Associate Professor - Typically an established research scientist whose research products are nationally recognized and whose research activities are consistently supported by extramural funding; must have demonstrated independence in leadership of a research program, for example, by serving as principal investigator on funded extramural research grant applications.

Research Professor - Typically a senior research scientist whose research program is nationally and internationally recognized as making an important contribution to the body of knowledge in his/her discipline; must have demonstrated a high level of achievement in leading a research program, for example, by consistently serving as principal investigator on research grant applications funded by federal agencies such as the National Institutes of Health, the Centers for Disease Control and Prevention, or the National Science Foundation.

The focus of the research faculty member's contribution (percentage of effort) will be mutually determined by the faculty member, the program director and/or department chair and delineated in the letter of appointment. Research faculty will be evaluated based upon the success with which this distribution of effort is achieved.

II. Appointment Procedures

- A. Creation of Research Faculty Positions. The process of creating a research faculty position may be initiated by a department chair, center director, or the dean of the Arnold School Public Health. A research faculty member must hold an appointment in one of the School's six academic departments. In addition, a research faculty member may be appointed to serve in one or more of the school's centers and programs. In all cases creation of a research faculty position must be approved by the head of the department or the center in which the position will be based and by the dean. Approved requests to create research faculty positions are submitted by the dean to the Provost and the USC Division of Human Resources.

Proposals for creation of research faculty positions must provide a description of the requested position including a specification of the type of activities to be performed by the faculty member. Such proposals should specify the source(s) of the funds that will support the position, whether the position will hold an FTE or be a research grant position, and the distribution of effort (as a percentage of time) in the areas of teaching, scholarship and service. Typically, research faculty positions are created when a department and/or center can demonstrate a stable

source of funding to support the position. In addition, funding to support research faculty positions may be partially provided by the Office of the Dean; however, such support is temporary and will decrease during the initial period of appointment.

- B. Search Process. Appointment of persons to research faculty positions must result from an open and competitive search process that involves the participation of a search committee. A national search is strongly encouraged. The chair and faculty of the proposed home academic unit must be involved in the search. Typically, a faculty member from that unit serves on the search committee. But as a minimum, unit faculty will meet with visiting candidates and will be invited to provide comments on each candidate to the search committee. Guidelines for faculty searches are provided in the Arnold School of Public Health Faculty Search Policy and include checklists, sample letters, recruiting sources, and information on Equal Opportunity policies and procedures.
- C. Hiring. Appointment to a research faculty position is made by the dean upon recommendation of the pertinent department chair and/or center director who in turn must consider the recommendation of the search committee. The faculty rank of an appointee is determined by the dean with consideration of the rank-specific performance standards described in Section IV of this document. Current faculty of the department to which the research faculty will be appointed must approve the appointment and rank, regardless of FTE or research grant status. The appointment may have contingencies such as the completion or verification of a degree or a background check, as requested by the department or dean.

The duration of an appointment to a research faculty position is normally one year. The University requires annual review and reappointment of non-tenure track faculty. Reappointment is based on satisfactory performance and continued availability of funds. However, the creation of a research track position may be related to a business plan that outlines salary funding for the position for multiple years, typically three.

Each research faculty receives a letter of appointment from the Dean. This letter specifies beginning and ending dates of the appointment and the appointed faculty member's distribution of effort (as a percentage of time) in the areas of teaching, scholarship and service. The distribution of effort specified in the annual letter of appointment is used as the basis for evaluating the faculty member's performance achievements.

Under unusual circumstances, a multi-year appointment can be offered. However, the Office of Human Resources has advised that such an appointment letter should include conditional language such as "This multi-year appointment is contingent upon performance and funding for your salary."

III. Evaluation, Reappointment, and Termination Guidelines

- A. Annual Review. Each research faculty member is required to submit an annual report summarizing his/her research accomplishments, professional service contributions, and, if applicable, instructional activities during the previous calendar year. Typically this report is submitted to the department chair and, if applicable, center director and/or program director by February 1. The department submits a copy of the report to the Office of Faculty Affairs and Curriculum. This report should adhere to the format provided. The faculty member's current curriculum vitae should be attached to the report

The annual report is reviewed by the administrative head(s) of the department, program and/or center in which the faculty member's appointment is based. Primary responsibility for administrative evaluation of a research faculty member's annual report lies with the administrator (department chair, center director or program director) who heads the unit providing the majority of the funding that supports the faculty member's salary. If the faculty member's salary support is shared by more than one unit, all responsible administrators review the report and provide comments to the administrator with primary responsibility for supervision of the faculty member. Further, while final authority for evaluation of the annual review resides with a single administrator, it is expected that the evaluation will reflect the consensus of those who have provided comment. Evaluation of a faculty member's report will be based on the criteria and standards associated with his/her current rank (see section IV) in context of the distribution of effort defined in the appointment letter and his/her individual goals and objectives.

The primary supervisor of a research faculty member will meet with the faculty member to communicate the administrative evaluation. During this meeting strong and weak points in a faculty member's performance will be noted. In addition goals and objectives for the next year will be developed; the subsequent annual review will focus on performance relative to these goals and objectives. This evaluation will be provided to the faculty member in the form of a written summary. This evaluation should be completed by April 15.

- B. Appointment and Termination of Research Faculty. Appointments/reappointment of research faculty shall be in writing and shall specify the beginning and ending dates of the appointment. Appointments shall terminate on the date specified and no further notice of non-reappointment is required. A decision to reappoint a research faculty member is made by the dean based on satisfactory performance, the availability of funds, and a review of the recommendation(s) of the relevant department chair, program and/or center director.

A decision not to reappoint is based on either non-availability of funds or an unsatisfactory annual report and evaluation by the department chair and/or center director and the associate dean for faculty affairs and curriculum. Such a conclusion would be made after thorough review of the evaluations and in the context of any active business plan for the position, if applicable.

- C. **Promotion.** Procedures for consideration of promotion applications are similar to those described for the annual review. Briefly, to apply for promotion, the candidate must submit the relevant sections of the primary and secondary files as described for the Tenure and Promotion process (<http://www.sc.edu/tenure/forms.shtml>) For the primary file, the candidate should complete sections II.A (personal information), II.D (scholarly and professional publications) and III (personal statement) and II.C (teaching history) and II.E (service and outreach activities), as applicable. The secondary file should include documentation of activities listed in the primary file (e.g., full CV, publications, main body of recent grant submissions). Letters from at least three external reviewers are required. The application is reviewed by an ad hoc committee appointed by the appropriate department chair, center or program director and the associate dean for faculty affairs and curriculum. This ad hoc committee has a minimum of four members: the department chair and/or center/program director, two faculty members from the candidate's home department, and one faculty member from a different academic department; at least one member of the ad hoc committee should be a research faculty member at or above the rank to which the candidate is applying. Each member of the committee must submit a written ballot. These reviews are summarized by the associate dean for faculty affairs and curriculum. Recommendations are forwarded to the Dean for final review and recommendation with regard to promotion. See appendix for a more detailed description of the procedures for applying for promotion in the research track.

The possible promotions are

- Research Assistant Professor to Research Associate Professor
- Research Associate Professor to Research Professor

IV. Evidence of Accomplishments and Performance Standards

- A. **Evidence.** Each research faculty is evaluated primarily on the basis of research productivity. Evidence and standards for research productivity, as presented in this document, provide the platform for evaluation of research faculty as required in several processes. These include appointment, annual review, reappointment, and promotion. Because research faculty are expected to provide professional service and may be assigned to instructional activity on a limited basis, performance in these areas will be considered in a research faculty member's overall evaluation if appropriate. However, satisfactory performance in research is required to support a decision to appoint, retain, reappoint, and/or promote research faculty.

Listed below are examples of evidence the candidate should provide to document productivity in each of the three areas of research, teaching, and service. The primary sources of evidence are weighted most heavily in the evaluation of a candidate's record. Candidates should provide all relevant information for each type of primary evidence, but it is understood that not all candidates will have activities for each type of evidence. These lists are comprehensive and representative of the type of evidence that should be provided but are not exhaustive; the candidate should include any activities deemed supportive of the

respective areas. Specific items of evidence are enumerated for ease of reference; except for primary evidence for research, the order does not reflect priority.

Research and Scholarship

Primary Evidence

1. Publication of data-based and/or methodological research in peer reviewed research journals as lead author or senior author with student lead author.
2. Solicitation and receipt of competitive research grants or contracts as principal investigator, co-principal investigator, or significant participant.
3. Publication of data-based and/or methodological research in peer reviewed research journals as support author. Provide brief information about contribution.

Secondary Evidence

1. Citation of candidate's work by other scholars.
2. Publication of specialized reference books or publication of chapters in these books, or publication of textbooks that have passed editorial boards.
3. Publication of review articles in peer-reviewed journals.
4. Publication of monographs.
5. Publication of papers in proceedings.
6. Publication of articles in non-refereed professional journals.
7. Publication of abstracts of scholarly presentation.
8. Presentation of research at professional meetings.
9. Participation in specialized workshops, lectures, or colloquia, especially at other institutions.
10. Editing of books.
11. Book reviews.
12. Receipt of non-competitive research grants and contracts.
13. Nomination for and receipt of honors or awards that recognize the quality of research.

Teaching

Primary Evidence

1. Student evaluations of the candidate's teaching performance in all classes taught during the period under review.
2. Peer evaluations of a candidate's classroom teaching performance by an evaluator outside the department.
3. Direction of dissertations and theses.
4. Direction of students in practica/projects and independent studies.
5. Service on dissertation and thesis committees and service on examination committees.
6. Development and/or revision of new courses, curriculum, and instructional material and methods.

Secondary Evidence

1. Demonstration of activities to improve teaching effectiveness.
2. Student advisement activities.
3. Any other documentation to support teaching effectiveness.
4. Nomination for and receipt of teaching awards.

Service

Primary Evidence

Service to the Academic Community

1. Service on committees at the University, School and/or department level.
2. Administrative responsibility and function which includes key University, School and/or department administrative positions.

Service to the Profession

3. Leadership roles in professional organizations.
4. Submission and receipt of or participation in training grants/contracts.
5. Editorial and review work for academic publications and research funding agencies.

Service to the Community

6. Service on government committees or task forces.
7. Consulting that is related to the candidate's professional activity.
8. Service to state or local agencies.

Secondary Evidence

Service to the Academic Community

1. Special projects for the University, School and/or the department.
2. Initiating efforts to improve academic or other programs at the University, School and/or department, level.
3. Continuing education programs.

Service to the Profession

4. Assisting students in job placement.
5. Service as session chair or discussant at professional meetings.

Service to the Community

6. Leadership role in not-for-profit organizations.
7. Presentations to community groups.
8. Serving on advisory boards, societies or councils, etc.

- B. Performance Evaluation and Associated Criteria. Those who are responsible for evaluating the productivity of research faculty will examine the evidence of performance and rate the faculty member's performance in the current rank or for promotion to the next rank according to the following criteria:

Candidates being evaluated at the rank of **research assistant professor** must demonstrate research productivity as indicated by publication of primary research articles in peer reviewed journals, submission and receipt of extramural research grants as either PI or significant personnel, general research productivity that makes an important contribution to the research mission of the Arnold School of Public Health, and, if applicable, effective administration of and provision of infrastructure support for research programs and good performance as an instructor, mentor and/or academic advisor.

Candidates being evaluated at the rank of or for promotion to **research associate professor** must demonstrate consistent leadership in research productivity as indicated by publication of primary research articles in peer reviewed journals, submission and receipt of extramural research grants as either PI or significant

personnel, general research productivity that is nationally recognized as making a contribution to the pertinent body of knowledge, and, if applicable, effective administration of and provision of infrastructure support for research programs and good performance as an instructor, mentor and/or academic advisor. In addition, the candidate should demonstrate appropriate service contributions to the academic community and to either the profession or the community.

Candidates being evaluated at the rank of or for promotion to **research professor** must demonstrate consistent leadership in research productivity as indicated by publication of primary research articles in peer reviewed journals, submission and receipt of extramural research grants as either PI or significant personnel, general research productivity that is internationally recognized as making a contribution to the pertinent body of knowledge, and, if applicable, effective administration of and provision of infrastructure support for research programs and good performance as an instructor, mentor and/or academic advisor. In addition, the candidate should demonstrate appropriate service contributions to the academic community, the profession or the community and be involved in the school's educational mission through mentoring of students.

- C. Standards for Appointment, Reappointment, and Promotion. Candidates for appointment to research faculty positions must present credentials that show a high probability of future performance that will meet the standards for the rank at which the appointment is sought. Likewise, research faculty who seek retention at a particular rank must demonstrate that their record meets the standards for their current rank. Candidates for promotion must demonstrate that they meet the standards for the rank to which they seek to be promoted.

V. Roles, Rights, and Responsibilities

Every research faculty has **similar** rights and privileges as a tenure track faculty with the several exceptions; these include tenure or accruing time in service for tenure. In accepting an appointment to the research faculty of the School of Public Health, an individual commits to continuing professional development and assumes a responsibility for active involvement in the governance, management, and development of the Arnold School of Public Health, the department and, if applicable, the center in which the appointment is based. Research faculty members also accept responsibility for respecting the rights of students, other faculty, and staff. Every research faculty is expected to maintain honesty and integrity in all professional activities and to adhere to all stated policies and procedures of the School.

In addition, the following policies apply to research faculty:

- Research faculty members are expected to participate actively in the governance, management, and development of the School, their department and, if applicable, center.
- Research faculty may vote at the departmental level as specified by the policies of the home department.

- At the school level, research faculty members are not eligible to serve on the Committee on Tenure and Promotion.
- Research faculty with unrestricted term graduate faculty status are eligible to serve on the school's Academic Programs Committee and may vote on such issues at the school level.
- Research faculty members are eligible to act as principal investigators on extramural research grant applications.
- Research faculty members are eligible for service on departmental and school committees, with the exceptions noted above, and may serve as committee chairs.
- Research faculty may be appointed to administrative positions and are eligible for awards at departmental and school levels.
- Research faculty members are not eligible for sabbatical leave, but they may be considered for a professional leave with or without pay.
- Research faculty members are eligible for administrative salary supplements in accordance with University guidelines for justification and approval.
- Research faculty members with unrestricted term graduate faculty status are eligible to serve as academic advisors to graduate students.
- Research faculty members with unrestricted term graduate faculty status are eligible to serve on student thesis and doctoral committees with the recommendation of their academic department. Research faculty of any rank can chair a thesis committee, and research professors can chair doctoral committees. However, appointment of research faculty members to doctoral committees must be consistent with all current Graduate School policy. . Currently research faculty can co-chair a doctoral committee with a tenure-track faculty but are not allowed to chair a committee.

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APPENDIX
Policies and Procedures for Promotion of Research Faculty
Arnold School of Public Health
University of South Carolina

1. The review process for promotion of research faculty is coordinated by the Office of Faculty Affairs and Curriculum. An ad hoc committee appointed by the appropriate department chair, center or program director and the associate dean for faculty affairs and curriculum has primary responsibility for reviewing the promotion file. This ad hoc committee has a minimum of four members: the department chair and/or center/program director, two faculty members from the candidate's home department, and one faculty member from a different academic department; at least one member of the ad hoc committee should be a Research faculty member at or above the rank to which the candidate is applying.
2. Evidence supporting the qualifications of a faculty member for promotion may be solicited and submitted from many sources. All such evidence shall be submitted in written form and signed by the author. Hearsay or personal opinion outside the context of the following policies, whatever the source, may not be any part of the decision making process.
3. Consideration for promotion shall not be influenced by the age, sex, race/ethnicity, creed, religion or the educational institution from which the candidate graduated.
4. Evidence submitted will be judged according to the overall pattern of performance. Decisions regarding promotion will depend primarily on evidence of a consistent pattern of achievement since the date of appointment to the present rank (or January 2001, whichever is later) in the Arnold School at the University of South Carolina.
5. A decision to seek promotion should occur after consultation with the candidate's department chair and/or center director, senior faculty, and the dean's office.
6. Individual files relevant to promotion matters shall be maintained in the dean's office. Confidentiality is required in all aspects of the deliberative process when considering the candidates file.
7. Letters from at least three external reviewers will be solicited. The candidate, the department chair and/or center director, and the associate dean for research can submit names of potential reviewers. In order to eliminate any conflict of interest, it is important that none of those chosen should have close association with the candidate, e.g., dissertation advisor, co-author or co-principal investigator. It is generally expected that the external reviewers will be nationally recognized in the candidate's area of expertise or a closely related area, and must be at or above the desired rank or equivalent status of the candidate. The Office of Faculty Affairs and Curriculum will contact each external reviewer and forward the candidate's current

curriculum vitae and copies of approximately five publications selected by the candidate. The external reviewers will receive the Research Faculty Policies and Procedures document as a guide and will be asked to comment only on scholarship activities.

8. Because promotion of research faculty is an internal decision, the timeline can be set individually for each candidate. However, to allow sufficient time for external reviewers and internal evaluation of the file, the following guidelines are recommended.

Month 1

- The candidate provides names of potential external reviewers.
- Office of Faculty Affairs and Curriculum solicits additional names of potential reviewers from the candidate's department chair and/or center director and the associate dean for research and contacts the potential reviewers for agreement to review the file.
- The candidate provides five copies of a current curriculum vitae and selected manuscripts for distribution to the external reviewers.
- The Office of Faculty Affairs and Curriculum distributes the provided material along with the Research Faculty Policies and Procedures to external reviewers.

Month 3

- Letters from external reviewers are due to Office of Faculty Affairs and Curriculum.
- The candidate submits the complete primary and secondary files to the Office of Faculty Affairs and Curriculum.
The primary file includes all relevant sections of the University Tenure and Promotion file:
 - II.A. Personal information
 - II.C. Teaching history (if applicable)
 - II.D. Scholarly and professional activities
 - II.E. Service and outreach activities (if applicable)Personal statement
The secondary file should include documentation of activities listed in the primary file (e.g., full CV, reprints of publications, main body of recent grant submission)
- By the end of month 3, the files to which letters from external reviewers have been added should be available for the ad hoc committee.

Month 4

- The ad hoc committee meets to discuss the promotion application. This discussion and the recommendation of the committee is summarized by the associate dean for faculty affairs and curriculum. The recommendation and justification is forwarded to the dean for review and recommendation with regard to promotion to the Provost.
- The candidate is notified in writing of the decision by the end of month 4.

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