COSW NON-TENURE-TRACK RESEARCH FACULTY PROTOCOLS
College of Social Work
University of South Carolina
Established: February 8, 2008
Reviewed & Revised: September 27, 2013
Approved by COSW Faculty on October 11, 2013
Approved by Provost on July 23, 2015

Research Faculty play a central role in the development and operation of the USC College of Social Work and are critical to the successful pursuit of the College's research goals. This document describes procedures for appointment, evaluation, retention, reappointment, promotion, and management of Research Faculty. This policy will be evaluated on an annual basis.

I. Research Faculty Ranks

Persons with doctoral level training (i.e., Ph.D. or equivalent) may be appointed to the faculty of the College of Social Work 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 may also provide professional service to centers or institutes within the College and the University. They may be expected to 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 College'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 and considerable experience in the research field. Appointment is on a temporary 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 College of Social Work, Research Faculty ranks are as follows:

Research Assistant Professor - Typically a research scholar 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 scholar 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 scholar 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 funded competitive research grant applications.

The focus of the Research Faculty member's contribution (percentage of effort) will be mutually determined by the faculty member and the Dean 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 center or institute director or the Dean of the College of Social Work. In addition, a Research Faculty member may be appointed to serve in one or more of the College's programs. In all cases creation of a Research Faculty position must be approved 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 and the distribution of effort (as a percentage of time) in the areas of teaching, scholarship, and service. In addition, funding to support Research Faculty positions may be partially provided by the Office of the Dean; however, such support is temporary and may 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. College 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 COSW policy manual.

C. Hiring. Appointment to a Research Faculty position is made by the Dean upon 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. The appointment may have contingencies such as the completion or verification of a degree or a background check, as requested by the Dean. All offers are subject to any proviso enacted by the General Assembly whether it is in effect at the time of the execution of the contract or enacted after the execution of the project.

   The duration of an appointment to a Research Faculty position is a minimum of one year. The University requires annual review and reappointment of all non-tenure track faculty. Annual 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.

   Research Faculty receive an annual 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.

Contingent upon availability of funding, a multi-year appointment can be offered. However, the Human Resources Department 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. The primary supervisory authority is the Dean or center or institute director of the unit providing the majority of the faculty member's salary support. In addition, a copy of the report is submitted to the Associate/Assistant Dean for Research. This report should adhere to the format provided. The faculty member's current curriculum vitae will be attached to the report.

The Associate/Assistant Dean for Research and the appropriate center or institute head will provide input as requested by the Dean. Final evaluation of the annual report will be made by the Dean who makes decisions regarding merit salary adjustment, retention, and reappointment. The evaluation of the faculty member's performance in relation to the standards for his/her appointment and his/her individual goals and objectives will be provided to the Research Faculty member in the form of a written summary.

Primary responsibility for administrative evaluation of a Research Faculty member's annual report lies with the primary supervisory authority providing the majority of the funding that supports the faculty member's salary. 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 addition, reappointment is dependent upon the availability of funds.

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, and goals for the next year will be discussed. 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.

B. **Appointment and Termination of Research Faculty**. Appointment/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 or institute director.

A decision not to reappoint is based on either non-availability of funds or an unsatisfactory annual report and evaluation by the Dean and/or a center or institute director. 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.

The appointment of a Research Faculty member may be terminated by the faculty member or by the Dean upon 90 days' written notice. If there is termination for cause, these notification requirements do not apply.

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), as well as II.C (teaching history) and II.E (service and outreach activities), if 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. This ad hoc committee has a minimum of four members: two tenured faculty members and the Associate/Assistant Dean for Research; 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. (If the position of Associate/Assistant Dean for Research is vacant, the Associate Dean for Academic and Student Affairs will serve on the committee.) Each member of the committee must submit a written ballot. These reviews are summarized by the Associate/Assistant Dean for Research. Recommendations are forwarded to the Dean for final review and decision 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. Research Faculty are 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. 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; 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. Publication of data-based and/or methodological research in peer-reviewed research journals as support author. Provide brief information about contribution.
3. Publication of original research in a peer-reviewed book or monograph.
4. Solicitation and receipt of competitive grants or contracts as principal investigator, co-principal investigator, or significant participant.
5. Demonstrated use of candidate's work by practitioners.

Secondary Evidence

1. Citation of candidate's work by other scholars or other professionals.
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. Receiving honors or awards that recognize the quality of research.

Teaching/Mentoring (if applicable)

Primary Evidence

1. Supervision of Graduate Assistants and/or research staff on faculty projects (e.g., literature review, data entry, report writing)
2. Student evaluations of the candidate's teaching performance in all classes taught during the period under review.
3. Peer evaluations of a candidate's classroom teaching performance by an evaluator outside the department.
4. Direction of dissertations and theses.
5. Direction of students in practica/projects and independent studies.
6. Service on dissertation and thesis committees and service on examination committees.
7. Development and/or revision of new courses, curricula, and instructional materials and methods.

Secondary Evidence

1. Demonstration of activities to improve research mentoring and/or teaching effectiveness.
2. Any other documentation to support mentoring and/or teaching effectiveness.
3. Nomination for and receipt of mentoring and/or teaching awards.

Service

Primary Evidence

Service to the Academic Community

1. Service on committees at the University, College, and/or department level.
2. Administrative responsibility and function, which includes key University, College, and/or department administrative positions.
3. Receipt of service grants.

Service to the Profession

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

Service to the Community

7. Service on government committees or task forces.
8. Consulting that is related to the candidate's professional activity.
9. Service to state or local agencies.
10. Establishing university-community partnerships.

Secondary Evidence

Service to the Academic Community

1. Special projects for the University, College, and/or the department.
2. Initiating efforts to improve academic or other programs at the University, College, 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 Ratings 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, Co-PI, Co-Investigator, or other significant personnel; general research productivity that makes an important contribution to the research mission of the College of Social Work; and, if applicable, effective administration of and provision of infrastructure support for research programs and good performance as an instructor or mentor.

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, Co-PI, Co-Investigator, or other 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 or

mentor. 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, Co-PI, Co-Investigator, or other 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 or mentor. 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, Retention, 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 and/or reappointment 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

In accepting an appointment to the Research Faculty of the College of Social Work, an individual commits to continuing professional development and assumes a responsibility for active involvement in the governance, management, and development of the College of Social Work, 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. Research Faculty are expected to maintain honesty and integrity in all professional activities and to adhere to all stated policies and procedures of the College.

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 College and, if applicable, center.
- At the College level, Research Faculty are not eligible to serve on the Committee on Tenure and Promotion or vote on Curriculum issues.
- Research Faculty are eligible to act as principal investigators on extramural research grant applications.
- Research Faculty are eligible for service on College 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.
- Research Faculty are not eligible for sabbatical leave, but they may be considered for a professional leave with or without pay.
- Research Faculty are eligible for administrative salary supplements in accordance with University guidelines for justification and approval.
- Research Faculty with unrestricted term graduate faculty status are eligible to serve

as academic advisors to graduate students.

- Appointment of Research Faculty members to doctoral committees must be consistent with all current Graduate School policy.

APPENDIX

Policies and Procedures for Promotion of Research Faculty
College of Social Work
University of South Carolina

1. The review process for promotion of research faculty is coordinated by the Office of Academic Affairs. An ad hoc committee appointed by the Dean has primary responsibility for reviewing the promotion file. This ad hoc committee has a minimum of four members: two tenured faculty members, Associate/Assistant Dean for Research, and a research faculty member at or above the rank to which the candidate is applying. (If the position of Associate/Assistant Dean for Research is vacant, the Associate Dean for Academic and Student Affairs will serve as a member of the Committee.)

2. Evidence supporting the qualifications of faculty members 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, sexual orientation, 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 COSW at the University of South Carolina.

5. A decision to seek promotion should occur after consultation with 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 candidate's file.

7. Letters from at least three external reviewers will be solicited. The candidate, a center or institute director, and the Associate/Assistant 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 Associate/Assistant Dean for Research 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 Protocol 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
        a. Names of potential external reviewers are assembled.
        b. Associate/Assistant Dean for Research contacts the potential reviewers for agreement to review the file.
        c. The candidate provides five copies of a current curriculum vitae and selected manuscripts for distribution to the external reviewers.
        d. The Office of Academic Affairs distributes the provided material along with the Research Faculty Protocol to external reviewers.

    - Month 3
        a. Letters from external reviewers are due to the Associate/Assistant Dean for Research.
        b. The candidate submits the complete primary and secondary files to the Associate/Assistant Dean for Research.
            - The primary file includes all relevant sections of the University Tenure and Promotion file:
                - Vita
                - Teaching/Mentoring (if applicable)
                - Scholarship and Research
                - Service (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)
        c. 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
        a. The ad hoc committee will meet to discuss the promotion application. This discussion and the recommendation of the committee will be summarized by the Associate/Assistant Dean for Research. The recommendation and justification is forwarded to the Dean for final review and decision with regard to promotion.
        b. The dean will forward his/her recommendation, along with the candidate's promotion materials to the provost for approval.
        c. The candidate will be notified in writing of the decision by the end of month 4.