

POLICIES AND PROCEDURES FOR RESEARCH FACULTY APPOINTMENTS

I. Introduction

- A. The College of Arts and Sciences has established the non-tenure track positions Research Associate Professor and Research Professor, known together as research faculty. These positions have been established to enhance the research efforts of the college while, at the same time, furthering the professional advancement of researchers who now hold, or might be hired to, the position of Researcher or Principal Researcher. With the adoption of this policy, the college will cease to make any new appointments as Researcher or Principal Researcher, although those titles may continue to be used for personnel who hold them at the time the policy was adopted. The policies described in this document do not affect the existing positions of Research Associate and Senior Research Associate.
- B. Funds to pay research faculty are normally derived from research grants, contracts, and similar sources. These funds may be raised by the research faculty member or by regular faculty member(s) in whose research program the research faculty member is a participant. An appointment as a research faculty member is contingent upon the availability of funds, and the appointment will terminate either prior to or at the end of the current appointment period in the absence of sufficient funds to pay the faculty member.

II. Status of Research Faculty

Research faculty members are not *regular members* of the university faculty as defined in Chapter 2, Article I, Section A of the Faculty Handbook. Neither are they *regular members* of the college faculty as defined in Article II, Section 2 of the Bylaws of the Faculty of the College of Arts and Sciences. They are included as *other members* of the college faculty as defined in Article II, Section 5(revised) of the Bylaws of the Faculty of the College. As such they may attend faculty meetings and participate in discussion, but may not vote.

Like *other members* of the college faculty, research faculty are not governed by the Faculty Handbook, with the exceptions of Chapters 4 and 5 which apply to all members of the university community. However, research faculty shall enjoy the protections described in Chapter 3, Part 1, Article I, Section D of the Faculty Handbook, which deal with academic freedom. Their employment is governed by the Case Human Resources Policies and Procedures Manual except as noted in this document. Research faculty will qualify for faculty fringe benefits.

III. Appointment of Research Faculty

- A. The appointment of a research faculty member must be initiated by and be based in a department of the college. The department shall follow procedures that parallel those used for the initiation of appointments at the level of associate

professor or professor, except that items dealing with teaching and with community service shall not be considered.

- B. The Committee on Appointments of the College of Arts and Sciences will review the initial appointment of each research faculty member and make a recommendation to the Dean of the College of Arts and Sciences as to whether the appointment should be approved. The standards to be applied by the committee are discussed in Section V. of this document.
- C. An appointment as a research faculty member is made by the Dean of the College of Arts and Sciences. The dean will consider the advice of the initiating department and the committee. An appointment will be for a specified period of time, not to exceed one year.

Appointments beyond the initial appointment period will be made by the Dean of the College of Arts and Sciences. In approving such additional appointments, the dean will consider the recommendation of the chair of the department in which the research faculty member is based. Action by the Committee on Appointments is not required for appointments beyond the initial appointment period.

An appointment as a research faculty member is contingent upon the availability of funds. Should funds become unavailable, the current appointment will terminate, regardless of whether this occurs prior to or at the end of the current appointment period.

The salary of a research faculty member must be approved prior to the start of the appointment by the department chair and the dean.

IV. Qualifications of Research Faculty

A research professor or research associate professor will have research experience and qualifications comparable to those of regular faculty at the rank of professor or associate professor, respectively.

V. Evaluation and Promotion

- A. Research faculty members will be evaluated annually by the department chair in a manner similar to that used for regular faculty.
- B. The annual evaluation and recommendation for salary will be forwarded by the department chair to the dean who will approve the recommendation or modify it in consultation with the chair.
- C. Upon the recommendation of the chair or the request of the research faculty member, a department shall consider the promotion of a research associate professor to research professor. The standards to be applied are identical to the standards applied to the research component of the activities of a candidate for promotion from associate professor to professor. Matters dealing with teaching and service will not be considered.
- D. Actions of the department related to promotion of a research associate professor shall be sent forward from the Committee on Appointments to the dean following

the same procedures that are followed for actions related to promotion of regular faculty. Standards applied by the committee shall be identical to the standards applied to the research component of the activities of a candidate for promotion from associate professor to professor.

- E. The dean shall make the final determination of the granting of promotion of a research associate professor to research professor.

VI. Termination of Research Faculty

- A. If reappointment is not made for any reason, employment shall terminate at the end of the current appointment term. If possible, the department chair will notify the research faculty member in advance of the current appointment end date that reappointment will not be made.
- B. A research faculty appointment may be terminated prior to the end of the current appointment term for (1) just cause, using the definition that applies to regular faculty in the Faculty Handbook, Chapter 3, Part 1, Section I, Article E.2; (2) failing to adequately perform duties of the position; or (3) lack of external support or other funding.
- C. As referenced in Section I.B above, a research faculty member's appointment is contingent upon the availability of external support. It is the responsibility of the department chair to notify the appointee, the dean's office, and the Office of Human Resources in a timely manner if a research faculty's appointment must be terminated due to lack of funds. It is the responsibility of the research faculty member to notify his/her chair in a timely manner concerning any anticipated loss of funds.
- D. Research faculty members will not be entitled to severance pay.

VII. Rights and Responsibilities of Research Faculty

- A. The primary responsibilities of the research faculty member are those related to the research mission of the college, e.g., conducting research, dissemination of results, raising of research funds, participation in the maintenance of shared research facilities relevant to the research faculty members work, etc. Neither teaching nor service (other than that related to research facilities) is part of the responsibilities of the research faculty member.
- B. A research faculty member may submit external research proposals serving as the principal investigator, subject to university policies.
- C. A research faculty member will have library privileges identical to those of regular faculty members.
- D. A research faculty member may not, under the terms of his/her appointment, teach courses. Should it become desirable for a research faculty member to teach a class, an additional appointment as part-time lecturer or other appropriate rank will be made. An appointment will be initiated by the department chair following the usual procedures, and must be approved by the dean and the provost. The

effort of a research faculty member that is devoted to research may need to be adjusted if an additional appointment as lecturer is made.

A research faculty member may not serve as the academic advisor of an undergraduate or graduate student, as the thesis advisor of an M.S. student, or as the principal research advisor of a Ph.D. student, but may be a voting member of a thesis or dissertation committee.

A research faculty member is not eligible for an emeritus appointment.

VIII. Procedures

- A. The department initiates an appointment as research associate professor or research professor following procedures used for initiating regular faculty appointments at the level of associate professor or professor. In signing the paperwork, the chair is certifying that sufficient funding is available (or is expected to be available by the effective date of the appointment). Documentation provided by the department should include the grant number(s) and funding agency(s) or a copy of pending proposal(s) which are expected to cover the research faculty member's salary.
- B. Promotion of a research associate professor will be initiated in the department following the procedures used in promotion of a regular faculty member. All documentation required by the policies and procedures of the college related to the promotion of regular faculty except that documentation related specifically to teaching or service will be sent forward to the dean for consideration by the Committee on Appointments.
- C. In the case of new appointments and promotions, the Committee on Appointments will provide a full review, comparable to that done for appointments and promotions of regular faculty to the rank of associate professor or professor.
- D. The Committee on Appointments will report the results of its review to the dean. The dean will make the final decision on the appointment or promotion.
- E. The department is responsible for preparing and submitting the appropriate affirmative action paperwork prior to recommending the appointment.
- F. Annual reviews of all research faculty will be completed using the College of Arts and Sciences Faculty Activity Report. This form must be completed prior to processing the reappointment form for research faculty who are to be reappointed.
- G. Upon initial appointment the research faculty member will receive a letter of appointment that will include the term of appointment and the salary. The letter of appointment will state that the appointment is subject to the policies and procedures set forth in this document. Subsequent reappointments will be made using the faculty appointment form.

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