

May 2017

College of Health Sciences
University of Kentucky
Faculty Research/Scholarly Activity DOE Proposal

Introduction and Process

In Fall semester of 2016, Dean Scott Lephart charged CHS Faculty Council to examine the college's policy related to non-sponsored research distribution of effort. To this end, Council established a committee comprised of faculty representing all divisions in both departments to explore, discuss, and submit a proposal related to this issue. The committee members were:

- **Co-Chairs**

Esther Dupont-Versteegden
Joe Stemple

- **Members**

Gilson Capilouto
Phillip Gribble
Michelle Butina
Somu Chatterjee
Nate Johnson
Karen Skaff
Rachel Hogg
Phyllis Nash
Janice Kuperstein

The first step in the development of this proposal was a lively discussion among the members related to the categories that comprise non-sponsored research. This discussion evolved into a listing of research/scholarly activities that are now represented in the Un-sponsored Research/Scholarly Activity DOE Worksheet (See Appendix 1). The committee then solicited information from our benchmark institutions related to percentages of non-sponsored research effort and metrics to establish accountability (See Appendix 2). Finally, the committee solicited the same information from the UK Healthcare Colleges (also in Appendix 2). These data were then reviewed by the committee resulting in the CHS Faculty Research/Scholarly Activities DOE Proposal.

Research/Scholarly Activities DOE Proposal

Assumptions

It is acknowledged that there is rich diversity across departments, divisions, and individual faculty members in the College, and that a simplistic approach to equity in workload will not suffice to accurately represent individual faculty effort and contribution to the College and to the University. Also, any discussion of research DOE may be incomplete without acknowledging teaching, service, and clinical endeavors. This proposal, therefore, is purposefully flexible, yet targeted to assist all those involved in making equitable research DOE decisions so that all full-time faculty provide comparable total effort while still recognizing that the individual distribution of teaching, research, service and clinical contributions may vary across faculty members, across semesters, and between units in the College. The proposal demonstrates that the committee fully supports the research mission of the University and College, while also striving for excellence in our many teaching and clinical training, and service programs. We expect faculty to be engaged in administering a curriculum that is reflective of current research and practice. This proposal recognizes that department/division and

College goals are often best met when faculty contributions are made through different combinations of teaching, research, service, and clinical activities. Auxiliary faculty workloads may also be assigned in these and/or additional areas. It should be noted that tenure track faculty are subject to individual department/division guidelines for promotion and tenure and workload allocations should be developed that are consistent with these guidelines (as outlined in AR 3.8. <http://www.uky.edu/reggs/files/ar/ar3-8.pdf>) and with the Evidences for appointment, promotion and tenure for the College of Health Sciences (<https://www.uky.edu/chs/academic-and-faculty-affairs>).

Proposal

Distribution of Effort will be determined annually in a conference between the faculty member and the Chair as part of the annual Distribution of Effort (DOE) meeting. The timing of this annual meeting is at the discretion of the Dean/Chair to enable appropriate planning and budgeting. Faculty will be evaluated each year (non-tenured) and every two years (tenured) for merit and salary increases based on their performance within the focus area(s) agreed upon from the previous review process. Each faculty member is encouraged to initially determine a workload balance (teaching, research, service, or clinical) that best matches his or her productivity, strengths, career goals and department/division needs. From that point forward, faculty will, in consultation with the Division Director and the Department Chair, adjust the workload balance as part of the annual DOE development, thus allowing for change as circumstances dictate. Faculty may also request a meeting with the Director and Chair at any time to reevaluate workload if necessary, which will allow for a more accurate annual review at the close of the academic year.

Teaching, research, clinical and service responsibilities that equate with percentage time vary between Departments/Divisions and should be included in the yearly director/chair/faculty discussion. The agreed upon effort, with clearly defined expectations should then be described in an annual DOE document.

Considering the flexibility necessary to establish equitable DOEs across Departments and Divisions, Table 1 demonstrates suggested levels described in ranges of % effort taking into account 1) non-tenured and tenured faculty in Regular Title Series, a) faculty that have a balance of research and teaching responsibilities, b) faculty who have a predominance of teaching, and c) faculty who have a predominance of research, 2) non-tenured and tenured Special Title Series faculty, 3) Clinical Faculty, 4) Research faculty, 5) Lecturers.

Table 1. **Examples** of DOE distribution for **TYPICAL** faculty member

Ranges (%)		Teaching	Research/scholarly activities		Service	Clinical
			Un-sponsored	Sponsored		
Tenure track positions	Tenured Regular Title	10 - 60	15 - 30, N	0 - 100	5-10, N	
	Tenure track Regular Title	30 - 65	30 - 60 (first 3 years, N)	0 - 100	5 - 10	
	Tenured Special Title	65-85	10 N	0 - N	5-10, N	10-20
	Tenure track Special Title	65-85	10 N	0 - N	5-10, N	10-20
Non-tenured positions	Research Title	0 - N	0	95, N	1-5	
	Lecturer	85 - 90	1-N	0 - N	10-15	
	Clinical Title	0 - 15	0-N	0 - N	0 - 5	60-95
N= negotiable						

Explanation of Table 1

As mentioned above, the ranges in this table reflect possible scenarios for different faculty members with diverse and distinct career goals. Tenured regular title series faculty who have a balance between teaching and research will have percentages that are in the middle of the ranges mentioned in the table, while faculty with a research focus will have more percentage DOE in research than teaching and will negotiate the unsponsored research part with the Chair depending on productivity in scholarly activities (Appendix 1) and goals for future projects. Junior faculty on tenure track in the Regular Title Series will have negotiated protected unsponsored research depending on their potential to build a research line and become funded for their research. This unsponsored research DOE should be in addition to potentially already funded DOE.

Tenured and tenure track junior faculty in the Special Title Series will receive up to 10% unsponsored and will be able to negotiate additional research time depending on the needs of the division and/or unit.

Research Title series faculty should be fully funded for their scholarly activities and should be able to negotiate teaching time as desired/needed.

Lecturer title series faculty will be engaged in teaching and service for the majority of their DOE and will be able to negotiate potential sponsored research time if the occasion arises and if the needs of the unit can be met.

Clinical title series faculty will be mainly involved in clinical duties unless negotiated DOE for research/scholarly activity (sponsored as well as unsponsored) or teaching is obtained.

Accountability for Unsponsored Research/Scholarly activity DOE

Following are the steps taken by a full-time faculty member in consultation with the Chair in determining unsponsored research workload:

1. Faculty establish their goals for the coming year and consider the distribution which best helps them meet their goals (and those of the department / division).
 - a. Research project goals for the year are presented in detail in an Unsponsored Research/Scholarly Activity DOE Work Sheet. (Please use Table 1 for total percentage guidelines.)
 - b. The faculty member and chair negotiate the distribution.
2. The Chair, in consultation with the Dean, will make the final determination of the DOE.
3. Please refer to Appendix 1: Categories of Unsponsored Research. Value of individual categories is determined by the culture of each department/division.
4. During annual performance review, the Unsponsored Research/Scholarly Activity DOE Work Sheet will be reviewed to determine if goals were met.
5. Future unsponsored Research/Scholarly Activity DOE will be determined by goal attainment.

Appendix 1

Un-sponsored Research/Scholarly Activity DOE Worksheet (2017-2018)

The following categories may be used for determining/negotiating un-sponsored research/scholarly activity DOE distribution:

1. planning, writing, submitting, and/or revising:
 - a. grant proposal
 - b. LOI
 - c. Manuscript for publication
 - d. textbooks/chapters/white papers
 - e. student projects advancing faculty research agenda
2. collecting data:
 - a. as preliminary work for grants
 - b. for grants without salary support
3. preparation, submission, and, maintenance of IRB protocols
4. preparation for presentation of scholarly activity:
 - a. abstracts
 - b. oral presentation
 - c. platform presentation
 - d. poster presentation
5. development, submission, and advancement of intellectual property

Planned activities:

	Title	Category
1.		
2.		
3.		
4.		
5.		
6.		
7.		
8.		
9.		
10.		