

Faculty of Humanities Policy: Post-Doctoral Research Fellows, Research Associates and Other Categories

Status of this Policy

This is a Faculty policy document subject to approval or revision at any time by the Board of Faculty, and has the same authority as a decision of the Board of Faculty, as determined by the Charter of that Committee of the Senate.

Purpose of this Policy

To determine standard principles and processes for matters relating to Post-Doctoral Research Fellows, Research Associates and various other categories of affiliates in the Faculty, including appointment, remuneration, and other matters falling to the Faculty to decide and administer.

Other Relevant Policies

Faculty of Humanities Policy: Research Fund Management

Faculty of Humanities Policy: Incentive Funding

UJ Policy on Incentive Funding UJ

Policy on Honorary Professors UJ

Policy on Emeritus Professors

Nature of the Roles

The Post-Doctoral Research Fellow (PDRF) role is a junior academic appointment with no expectation of permanency, focused exclusively on research productivity. The PDRF programme is intended to be financially sustainable on a break-even basis, with revenue coming from publication subsidies.

Research Associates are persons who:

- Have academic standing that will reflect well on the University and Faculty by association;
- Have a genuine association with the Faculty;
- Usually do not have an association with another South African Higher Education Institution, or any association which would prevent the Faculty from submitting the Research Associate's publications for DHET subsidy.

Academic standing usually means an appointment at another university but does not always require this, provided that the person makes a contribution to research in their field, and that this is a contribution with which the Faculty would wish to be academically associated.

Senior Research Associates must additionally possess academic credentials equivalent to or in excess of those required for appointment or promotion to Senior Lecturer in this Faculty.

More senior candidates may be appropriate for appointment as Visiting, Honorary or Emeritus Professors, the process for which is set out in the relevant UJ Policy. In such cases the Research Associate appointment may be employed as an interim affiliation.

The Faculty appoints, administers and remunerates Research Associates and Senior Research Associates in the same way. In the remainder of this document the term “Research Associate” includes Senior Research Associates except where otherwise specified.

Nature of Association

Research Associates are associated with a Department, Centre, Chair, or other recognised entity falling under the jurisdiction of the Board of Faculty in academic matters.

An association must exist between the entity and the Research Associate.

An association may range from a very close association (repeated co-authorship with a UJ permanent staff member) to a very loose association. There must, however, be an association, which may be evidenced by one or more of the following:

- Appearance in the acknowledgements of an academically meritorious publication by a UJ permanent staff member;
- Supervisor or co-supervisor of UJ postgraduate students;
- Participation in grant proposals;
- Other similar or equivalent interactions.

Academics proposing Research Associates should provide evidence on request to substantiate the association.

Appointment

Regarding PDRFs:

Appointment is at the discretion of the Executive Dean or delegate who acts on the advice of the Research Committee.

In considering applications the Research Committee has regard to:

- Evidence of ability to publish, especially publication track record;
- Evidence of an intellectually sound research direction;
- Evidence of the ability of the supervisor to provide necessary mentoring and guidance;
- Evidence of the ability of the Department/Centre/other entity to provide office space, computing facilities, and an environment conducive to research;

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- Availability of Faculty and other funds.

Applications should be submitted by proposed supervisors or by candidates to the Faculty Research Officer in response to calls for applications that will be announced from time to time.

The documents required in application are specified at the time the call for applications is circulated.

Appointment is for one year and is renewable.

Regarding Research Associates:

Research Associates are appointed at the discretion of the Executive Dean.

The entity seeking a Research Associate should submit

- the proposed Associate's CV, and
- a brief motivation indicating the nature of the association to the Executive Dean or delegate with these materials for decision.

If appointment is recommended the Executive Dean or delegate will:

- issue a letter notifying the Research Associate of such, and
- inform the entity to arrange for the appointment of the Research Associate as a temporary employee in the University's HR system.

Candidate Research Associates may be proposed at any time.

Period of appointment is at the discretion of the Executive Dean, but will normally be for three years rounded to the nearest year end (so, for example, appointments made Jan-June 2017 would run until end 2019 and those made July-Dec 2017 would run until end 2020).

Duties

Regarding PDRFs:

PDRFs are required to focus intensively on developing their research career, and to achieve the *final, non-provisional acceptance* (the date of eventual publication is not material) of at least two subsidy-bearing units per year. This is because the financing of the PDRF post comes directly from this subsidy. "Non-accredited" units thus do not count towards renewal even where they are academically very impressive.

Requests to revise and resubmit and conditional acceptances do NOT count towards renewal, nor do mere acceptances. Legally binding book and chapter contracts DO count.

PDRFs are not required to teach or supervise. They may do limited teaching if they wish, to an extent that is commensurate with career development, but they absolutely may not be obliged or pressured to do so by their host Departments.

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Contributions to teaching or other aspects of academic citizenship will not be considered when renewal is decided.

Regarding Research Associates:

The Research Associate appointment is intended to formalise existing or intended collaboration on research endeavours and thus does not bear any duties beyond these activities. It is assumed that the Research Associate will publish or co-publish with members of the department/centre/entity they are associated with and that the subsidies that this bears will accrue to UJ.

Duties of the Department/Centre/other entity

Regarding PDRFs:

PDRFs must have a supervisor, who is responsible for providing mentorship and assisting the PDRF with developing his/her career and in particular with meeting the expectations for publication.

The Department/Centre/other entity is responsible for providing or procuring office space, offering a work environment that is conducive to research, and for assigning an appropriate supervisor. Where a computer is required, this should be provided by the Department.

Regarding Research Associates:

The Department/Centre/other entity is responsible for proposing potential Research Associates and providing the Dean or delegate with sufficient information to make a decision about appointment. The entity is also responsible for ensuring that Research Associates include their affiliation with the faculty on publications, and that such publications are submitted for DHET subsidies.

Duties of the Faculty Office

Regarding PDRFs:

The Faculty Office is responsible for providing its share of the funds for the PDRFs remuneration.

The Faculty Office will provide workshops, training, writing retreats, and offer other development opportunities if affordable and feasible to do so.

If requested to do so, the Faculty Office will assist where it can with procuring office space, computing equipment, and similar, but it is not responsible for these things, which ought to be considered by Departments when PDRFs are proposed.

The Faculty Office will make every effort to assist Departments, Supervisors and PDRFs with resolving any unforeseen challenges that may arise, and should be notified immediately of such.

Regarding Research Associates:

The Faculty Office will ensure that entitlements are paid to Research Associates as outlined below (*see: Remuneration and Entitlements*)

Remuneration and Entitlements

PDRFs are remunerated in line with the University practices on PDRFs. This is managed by the Postgraduate School.

PDRFs are not entitled to a computer. Where a PDRF requires a computer this is provided by the Department.

Research Associates are entitled to the following:

- Payment of incentive funding for publications, graduating students, or other research outputs as determined by the Faculty Policy on Research Incentive Funding;
- Recognition by the Faculty as a Research Associate.

Research Associates are not remunerated on a salaried basis.

Research Associates are not entitled to office space or equipment.

Where the Research Associate was formerly a PDRF, incentive funding can only be claimed by the Research Associate (or associated Department) if the PDRF met his/her publishing expectations as a PDRF (as set out in the Faculty Policy: PDRFs), failing which, units are counted towards those expectations until they are satisfied.

All payments and funds discussed in this document are subject to the Policy on Research Fund Management, which may sometimes direct that a payment which would otherwise be due should not be made.

In case of conflict between that policy and this one, the Research Fund Management Policy takes precedence, since it sets out principles applying to all research funds.

Renewal

Regarding PDRFs:

Renewal is at the discretion of the Executive Dean or delegate who acts on the advice of the Research Committee, which will refer to the progress made by the PDRF in publishing the required number of subsidy-bearing units.

If renewal is desired the PDRF must submit an application for renewal to the Faculty Research Officer at least three months before contract termination. Renewal applications must be submitted to the Faculty Research Officer two weeks before the next meeting of the Research Committee.

Documents required for renewal are:

- a completed renewal form (available from the Postgraduate School);

- a recommendation from the Supervisor;
- any other documents requested or specified by the Research Committee.

The Faculty Research Officer will supplement each application with a report on units submitted by the PDRF.

In considering renewals the Research Committee will compare the activity of the PDRF with the expectations for publication set out in *Duties of the PDRF* above as well as supervisor reports. Where a PDRF has produced less than the expectation, the Committee *may* consider exceptions where there is strong evidence that publications are forthcoming and that the *cumulative* total in the subsequent year will make up for the lack in the present year (so a PDRF who has published nothing in their first year must provide evidence of three in the second year, for example).

Regarding Research Associates:

The associated entity (and not Faculty Research Officer nor the Executive Dean) is responsible for tracking his/her Research Associate arrangements and for proposing them for renewal, where appropriate, in a timely fashion.

Where renewal is sought the associated entity is responsible for notifying the Faculty Research Officer by 31 July of the year in which the appointment terminates, supplying

- an updated CV and
- motivation for reappointment

From this point renewal is processed and decided in the same way as a new appointment.

Termination

Where no renewal is sought, termination occurs automatically at the end of the period of appointment determined at the time of appointment. Departments and entities should notify PDRFs and Research Associates of the termination.

Neither the Faculty Research Officer nor the Executive Dean (nor delegate) is responsible for notifying the associated entity.

Where the Executive Dean or the Research Associate or the PDRF deems it appropriate to terminate the arrangement earlier than the end of the period of appointment, he/she may do so by supplying 30 days written notice to the other.

Honorary, Visiting, Emeritus Professors, and Other Categories Appointment processes for Honorary, Visiting and Emeritus Professors are governed by University policies. Apart from appointment and renewal processes, the entitlements of these categories are identical to those of Research Associates, except that the recognition entitlement is to be recognised as Honorary, Visiting, Emeritus Professor or other category as appropriate.

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Entitlements to office space, computers, and other resources are the same as for Research Associates, as are entitlements to incentive funding.