



<b>Title of Policy</b>	<b>: Implementing Rules and Regulations for Research Fellows Program</b>
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## 1. Eligibility

- 1.1 Permanent and probationary full-time faculty members are eligible to apply for a Research Fellow (RF) post provided that they meet the minimum entry requirements.
- 1.2 Eligibility for entry into the research fellow tiers is based on research productivity, as evidenced by prior published outputs, and research impact, as demonstrated by h-index. The Scopus database will be used as the default basis for both productivity and impact measures. The minimum entry requirement for each tier is a composite score of 1, as given by the formulas specified below:

Tier	Formula
Research Fellow A	Composite Score = $0.5(N/30) + 0.5(h/10)$
Research Fellow B	Composite Score = $0.5(N/10) + 0.5(h/3)$
Research Fellow C and S	Composite Score = $0.5(N/3) + 0.5(h)$

\*Where N is the number of Scopus-indexed publications (including book chapters and conference papers), and h is the Scopus h-index

- 1.3 For disciplines in the Humanities that are not adequately measured by Scopus, the following metrics will be used:

Tier	Formula
Research Fellow A	Composite Score = $0.5(c/30) + 0.5(a/10)$
Research Fellow B	Composite Score = $0.5(c/10) + 0.5(a/5)$
Research Fellow C and S	Composite Score = $0.5(c/3) + 0.5(a)$

\*Where c is the number of published creative works, and a is the number of awards received (with international awards being counted as equivalent to two national/local awards).

- 1.4 Additional criteria to be considered, based on the discretion of the committee described in Section 2.5, and subject to unique norms in various disciplines, are given below:

Criterion	Rationale
Track record in securing external research funding at a scale commensurate to the requirements in a given field	Research leaders must demonstrate the ability to secure funding to support a substantial part of the university's research costs. However, the scale of funding clearly depends on the nature of the research activities.
Research leadership as demonstrated by corresponding authorship of some publications (in appropriate disciplines)	Corresponding authorship of joint papers is a widely accepted measure of research leadership.
Academic citizenship	In addition to formal research activities, some consideration may also be given to the ability of the candidate to establish his/her presence in national and international professional circles, and in effect act as an "academic ambassador" of DLSU.
Track record of successful mentoring of students and junior colleagues	Coauthorship of published work coupled with and a track record in guiding graduate students to successful completion of studies are also strong evidence of mentoring skills. Awards and other forms of recognition of former mentees are also strong evidence of this.

## 2. Entry procedure

- 2.1 A research fellow appointment may begin at the start of any trimester.
- 2.2 Interested and qualified faculty members may apply in writing to the VCA, through the department chair and dean, on or before the 8<sup>th</sup> week of the trimester prior to the commencement of the appointment. In the case of new faculty members, the expression of interest to apply for the research fellow appointment must be made concurrently with the hiring.
- 2.3 Research fellows may apply for elevation to a higher tier in the same manner as new candidates.

- 2.4 A candidate must submit the following documents: a cover letter signifying interest and specifying the desired research faculty tier; his/her updated CV; and a one-page document outlining his/her research plans for the next two years.
- 2.5 As a general rule, RFs are to be affiliated with Research Centers, with his/her work being defined by interests mutually agreed upon with the host unit's Director. This agreement will constitute the terms of reference (TOR) on the expected contributions to the host Research Center (e.g., participation in team projects, development of research-based publicity or instructional materials, etc.). In exceptional cases where no appropriate Research Center fits the RF's portfolio, an alternative scholarly community of peers can be proposed. Such situations will be considered on a case-to-case basis.
- 2.6 Applicants for the research fellow post will be assessed on or before the end of the term prior to the commencement of the appointment. The assessment will be done by a committee comprised of the department chair, dean, the VCA, the VCRI and the director of the host Research Center. The committee will evaluate the candidate based primarily on the documents submitted, but may elect to invite him/her for a brief interview. The committee's main task is to approve or disapprove an application, depending on the candidate's qualifications and potential for success, and likewise to take into account the number of research faculty slots currently available in the university. At the same time, the committees are supposed to exercise discretion in evaluating applications, and in particular, to take into account unique characteristics of different research disciplines.
- 2.7 The committee may also recommend the candidates entry into a higher or lower tier. In such cases, the faculty member has the option to accept or decline the resulting modified offer.
- 2.8 The committee can also take into account qualitative aspects such as research leadership (i.e., "academic citizenship" and ability to represent DLSU as an intellectual leader in his/her discipline), capability to secure research funding, willingness to mentor other researchers (undergraduate and graduate students as well as junior faculty), etc., as described in Section 1.4

### 3. Institutional Support

- 3.1 Research fellows will have a fixed number of annual research units as indicated in the table below. The research load may be allocated to different trimesters within the period of appointment, depending on such considerations as academic/administrative load and the timing of research-related tasks or projects (e.g., extended off-campus work, research or writing fellowships, hosting of major research events, industry immersion, etc.). Research fellows will still be subject to residency requirements, with such activities being included in their trimestral residency declarations.

Tier	Research Load (Annual Units/Weekly Hours)
Research Fellow A	27 units per year/30 hours per week
Research Faculty B	18 units per year/20 hours per week
Research Faculty C and S	9 units per year/10 hours per week

- 3.2 Upon initial appointment, research fellows in Tier C will be allocated a seed grant of up to P200,000. This grant may be used for various research expenses, such as acquisition of research supplies, travel expenses for data collection or dissemination, etc. It may also be used as DLSU

counterpart funding if the research fellow applies for external funding that requires institutional matching.

- 3.3 Research fellows in all tiers are entitled to double the number of usual slots for all institutional support for research-related travel for networking and conference presentations (e.g., he/she may avail of Science Foundation support for conference registration twice per year, instead of the normal allocation of once per year).
- 3.4 Research fellows in all tiers will also be given priority slots as participants in DLSU's advanced research-oriented training programs and modules.

**4. Performance review**

- 4.1 RF posts are made based on two-year appointments. Appointments may be renewed indefinitely subject to regular performance reviews and availability of slots. The performance of RF is evaluated by a committee of the same composition as specified in Section 2.4. The review should be completed on or before the 10<sup>th</sup> week of the last trimester of each term of appointment.
- 4.2 Research fellow performance is evaluated for each two-year appointment relative to quantitative performance targets as specified below.

Tier	Minimum Output
Research Fellow A	12 journal articles* in a Scopus-indexed journal or 12 creative works**
Research Fellow B	For initial appointment: 4 journal articles* in a Scopus-indexed journal or 4 creative works**  For reappointments: 6 journal articles* in a Scopus-indexed journal or 6 creative works**
Research Fellow C and S	For initial appointment: 2 journal article* in a Scopus-indexed journal or 2 creative work**  For reappointment: 3 journal articles* in a Scopus-indexed journal or 3 creative works**

\*Published, accepted for publication or subject to minor revision at the time of assessment

\*\*Document on fair evaluation of creative works must be used as a guide for assessment

- 4.3 Research output to satisfy the minimum performance targets cannot be used for monetary incentive (e.g., Research Incentive or Science Foundation publication incentive) purposes. However, they may be used to meet promotion, reclassification, renewal and permanency requirements, subject to all relevant provisions of the current Faculty Manual.

4.4 Alternative research outputs will be given credit as listed below:

Alternative Outputs	Equivalency (Ratio of alternative output to Scopus-indexed articles)
Articles in high-impact journals*	1:2
Scopus-indexed conference papers**	3:1
Published patent application	1:1
Scopus-indexed book chapters	3:1
Books by reputable publishers, vis-à-vis journal articles and other creative works	1:2
Research with demonstrable societal or University Mission-related impact***	1:2

\*Journals with SCImago Journal Rank (SJR) indicator in the top 25% of any Scopus subject categories

\*\*Selected high-impact conferences will be given 1:1 equivalency for RF from CCS; this list will be developed separately.

\*\*\*Vetting mechanism to be developed separately.

4.5 Additional criteria are also considered as part of the periodic evaluation for each appointment period. During the appointment period, the expected outputs are 3 points for RF-C/S, 6 points for RF-B and 8 points for RF-A.

Points	External research funding secured	Evidence of graduate student mentoring*	Journal articles or creative works in excess of minimum output	Assessment by Center Director of achievement of terms of reference**
0	0	0	0	Did not meet expectations
1	PhP0.5M	1	1	Partially met expectations
2	PhP1M	2	2	Met expectations
3	PhP5M	3	3	Exceeded expectations

\*Minimum of 1 point required in this category. Evidence can include successful completion of degree or coauthorship of an appropriate research output.

\*\*Feedback to be given during deliberation for reappointment; if necessary, the RF can contest unfavorable evaluation by writing an appeal to the VCRI.

4.6 For purposes of performance review, research fellows must submit a summary report of major research outputs with a brief description of the contributions of all coauthors<sup>1</sup>. Research fellows are expected to demonstrate research leadership via coauthorship with other DLSU faculty,

<sup>1</sup> Format of author contribution declaration in the journal *Proceedings of the National Academy of Science* ([www.pnas.org](http://www.pnas.org)) may be used.

students and external collaborators. They will be given full credit for papers published with coauthors that are not in the research fellow track. On the other hand, if multiple RFs from any of the tiers have a joint paper, only one of them can claim the output for credit purposes. In such cases, the RF coauthors must waive their claim to the output in writing.

- 4.7 A research fellow who does not meet the required minimum performance target at the time of review will be recommended for entry into a lower tier in the subsequent term of appointment. In such cases, the research fellow has the option to accept or decline the resulting modified offer. For RF-C, non-performance will result in removal from the research fellow track.
- 4.8 Faculty members who have been relegated to lower tiers, or removed from the research fellow track, will be given a two year grace period to make up for the shortfall in output. In the event of failure to make up for the shortfall, the incremental deloading will need to be paid back over the subsequent three-year period. For example, a faculty member classified as RF-B who delivers only RF-C output will need to pay back the incremental deloading difference between the two tiers.
- 4.9 RF who have been relegated to lower tiers, or removed from the RF track, may subsequently reapply for re-entry in the same manner as new candidates after completion of delayed outputs and obligations from the previous appointment. In such cases, the evaluation committee can factor previous non-performance in the decision-making process.
- 4.10 RFs may still avail of normal mechanisms for funding or deloading (e.g., via URCO). However, requests for incremental deloading will have to be assessed through the usual processes, taking into account workload (including teaching duties) and expected incremental output.
- 4.11 RF appointments may be deferred or interrupted if a faculty member is due for sabbatical or service leave. The same principle applies for the case of illness or maternity leave. The appointment resumes once the faculty member returns to active duty.
- 4.12 RF appointments may also be deferred or interrupted if a faculty member assumes a high-level administrative position; in this case, the appointment resumes once the administrative term ends. Alternatively, the research fellow may instead opt to relinquish the appointment.
- 4.13 In cases where the RF appointment is cut short, the expected scholarly output will be prorated to the number of terms completed, rounded up to the next larger integer (e.g., due to administrative appointment, retirement, etc.)
- 4.14 As a transitional provision, RFs with on-going appointments based on the original guidelines may complete their original contracts, and thereafter apply for renewal under these provisions.