Appointment and Promotion: APM - 310 Professional Research Series

310-4 Definition

a. The Professional Research series is used for appointees who engage in independent research equivalent to that required for the Professor series and not for appointees whose duties are limited to making significant and creative contributions to a research project or to providing technical assistance to a research activity. Appointees with Professional Research titles do not have teaching responsibilities.

b. Appointees can with campus approval be Principal Investigators and have the major responsibility and leadership for their research programs.

Appointments in this series may also be made to individuals who are not Principal Investigators, if they meet the research qualifications and demonstrate the accomplishment and the independence of research equivalent to that required for the Professorial ranks. For example, these individuals may be funded from a large center or collaborative program grant on which many independent investigators are working, or they may hold a Visiting title.

The ability to secure independent funding does not automatically qualify individuals for appointment to the Professional Research series.

c. Appointees may serve full-time, part-time, or without salary, provided they are actively engaged on a research project in accordance with APM - 310-4-b.

d. Professional Research titles may be supported by State and/or non-State funds.

310-8 Types of Appointments

a. Titles (and ranks) in this series are:

1) Assistant Research (e.g., *Physicist*)

2) Associate Research (e.g., *Physicist*)

3) Research (e.g., *Physicist*)

b. An *appointment* (as distinguished from a promotion) occurs when a person is employed in one of the three ranks listed above, if the individual's immediately previous status was:

1) not in the employ of the University; or

2) in the employ of the University but not with a title in this series.

c. A *promotion* is an advancement from one rank to a higher rank within this series, usually to the next rank as listed above.

d. A *merit increase* is an advancement either in salary step or to an above-scale salary rate without change of rank. See APM - 615.

e. The term *reappointment* means the renewal of an appointment in this series. If the renewal of an appointment does not immediately follow the ending date of the previous appointment, the action is an appointment, not a reappointment. A reappointment may or may not be accompanied by a promotion or a merit increase.

310-10 Criteria

A candidate for a title in this series must have earned a doctorate or its equivalent. The Chancellor may grant an exception to this requirement.

A candidate for appointment, reappointment, merit increase, or promotion in this series shall be judged by the criteria specified below:

a. Research qualifications and accomplishments equivalent to those for the Professor series

b. Professional competence and activity equivalent to those for the Professor series

c. University and/or public service

An Assistant Research (e.g., *Physicist*) is not required to participate in service activities. An Associate Research (e.g., *Physicist*) and a Research (e.g., *Physicist*) are expected to engage in University and/or public service, such as service on research review boards.

An appointee in this series must demonstrate continuous and effective engagement in independent and creative research activity of high quality and significance, equivalent to that expected of the Professor series. Proposed merit increases and promotions in the Professional Research series shall be reviewed with the same rigor accorded to proposed merits and promotions in the Professor series. See APM - 210-1.

310-16 Restrictions

a. Appointees in this series who teach must hold concurrently an appropriate faculty title, following campus review procedures for such appointment.

b. The appointment letter shall set forth any funding requirements for the position.

310-17 Terms of Service

a. An appointment or reappointment to the title of Assistant Research (e.g., *Physicist*) shall have a specified ending date. For written notification, see APM - 137-17.

b. An appointment or reappointment to the title of Associate Research (e.g., *Physicist*) or Research (e.g., *Physicist*) may be made in one of two ways:

1) **With a specified ending date**

For written notification, see APM - 137-17.

2) **With no specified ending date**

An appointment with no specified ending date should be made only when there is a reasonable expectation of long-term funding.

The appointee shall be notified in writing that the appointment does not carry either tenure or security of employment.

For provisions concerning termination see APM - 310-20-c.

c. Appointments and reappointments may have shorter terms than the maximums described below. The normal periods of service at each step in this series coincide with those of the Professor series as described in APM - 220-18-b.

1) An appointment or reappointment in the Assistant Research (e.g., *Physicist*) rank shall be for a period of two years or less. Ordinarily, appointees serve in the first four steps with the corresponding salary levels. Steps V and VI may be used in exceptional situations, with proper justification, consistent with campus practice. Service at Assistant Research (e.g., *Physicist*), Step V, may be in lieu of service at Associate Research (e.g., *Physicist*), Step I, for which the published salary is slightly higher. Likewise, service at Assistant Research (e.g., Physicist), Step VI, may be in lieu of service at Associate Research (e.g., Physicist), Step II.

When service at Assistant Research (e.g., *Physicist*), Step V, is followed by service at Associate Research (e.g., *Physicist*), Step I, the normal period of combined service with

both titles at the steps indicated is two years. The same normal two-year period of combined service applies when service at Assistant Research (e.g., *Physicist*), Step VI, is followed by service at Associate Research (e.g., *Physicist*), Step II.

There is an eight-year limit for an appointee who holds the Assistant Research (e.g., *Physicist*) title, either in that title alone or when combined with a Visiting Assistant Research (e.g., *Physicist*) title, with or without salary. The Chancellor may grant an exception to the eight-year limitation of service.

2) For appointments with specific ending dates, an appointment or reappointment in the Associate Research (e.g., *Physicist*) rank at any one of the first three steps shall be for a period of two years or less. The normal period of service in the rank of Associate Research (e.g., *Physicist*) is six years. Steps IV and V may be used in exceptional situations, with proper justification, consistent with campus practice. Service at Associate Research (e.g., *Physicist*), Step IV, may be partly or entirely in lieu of service at Research (e.g., *Physicist*), Step I, for which the published salary is slightly higher. Likewise, service at Associate Research (e.g., *Physicist*), Step V, may be partly or entirely in lieu of service at Research (e.g., *Physicist*), Step II.

   The normal period of service at Associate Research (e.g., *Physicist*), Step IV, is three years if such service is fully in lieu of service as Research (e.g., *Physicist*), Step I. In those instances of service at Associate Research (e.g., *Physicist*), Step IV, followed by service at Research (e.g., *Physicist*), Step I, the normal period of combined service is three years. The situation for Associate Research (e.g., *Physicist*), Step V, and Research (e.g., *Physicist*), Step II, is exactly analogous to that for Associate Research (e.g., *Physicist*), Step IV, and Research (e.g., *Physicist*), Step I.

3) For appointments with specific ending dates, an appointment or reappointment in the Research (e.g., *Physicist*) rank may be for a period of three years or less. The normal period of service at step is three years in each of the first four steps. Service at Step V may be of indefinite duration. Advancement to Research (e.g., *Physicist*), Step VI, usually will not occur after less than three years of service at Step V. This involves an overall career review and will be granted on evidence of sustained and continuing excellence in scholarship or creative achievement. Above and beyond that, great academic distinction, recognized nationally or internationally, will be required in scholarly or creative achievement. Service at Research (e.g., *Physicist*), Step VI, or higher may be of indefinite duration. Advancement from Research (e.g., *Physicist*), Step VI to Step VII, from Step VII to Step VIII, and from Step VIII to Step IX usually will not occur after less than three years of service at the lower step, and will only be granted on evidence of continuing achievement at the level required for advancement to Step VI.

   Advancement to an above-scale rank involves an overall career review and is reserved only for the most highly distinguished researchers whose work of sustained and continuing excellence has attained national and international recognition and broad

acclaim reflective of its significant impact. Except in rare and compelling cases, advancement will not occur after less than four years at Step IX. Moreover, mere length of service and continued good performance at Step IX is not a justification for further salary advancement. There must be demonstration of additional merit and distinction beyond the performance on which advancement to Step IX was based. A further merit increase in salary for a person already serving at an above-scale salary level must be justified by new evidence of merit and distinction. Continued good service is not an adequate justification. Intervals between such salary increases may be indefinite, and only in the most superior cases where there is strong and compelling evidence will increases at intervals shorter than four years be approved.

d. Every member of the Professional Research series shall be reviewed at least every five years. In exceptional circumstances, the Chancellor may defer the review one year.

e. Rules concerning effective dates of appointments are set forth in APM - 200-17, except that an appointment period normally will coincide with the University's fiscal year of July 1 through June 30 or with the end date of funding. The effective date of a promotion or merit increase is normally July 1. However, exceptions may be granted by the Chancellor. (See APM - 310-24.)

310-18 Salary

a. Authorized salary scales are issued by the Office of the President.

b. For off-scale salaries, see APM - 620.

310-20 Conditions of Employment

a. Appointees to this series are not members of the Academic Senate.

b. Neither tenure nor security of employment is acquired by appointment to a title in this series.

c. Expiration of an appointment, layoff, and termination

1) Appointments which have specific ending dates are subject to APM - 137 (Non-Senate Academic Appointees/Term Appointment). For layoff or involuntary reduction in time before the end date, see APM - 145. For dismissal for unsatisfactory performance before the end date, see APM - 150.

2) Appointments with no specific ending date are subject to the following policies:

a) When an appointment in this series is terminated because of budgetary reasons, lack of work, or programmatic needs, APM - 145 (Non-Senate Academic Appointees/Layoff and

Involuntary Reduction in Time) shall apply.

b) Termination for unsatisfactory performance shall occur only after appropriate academic review, in accordance with APM - 150 (Non-Senate Academic Appointees/Corrective Action and Dismissal).

d. An appointee with a title in this series is eligible for leave with pay under APM - 758 when the leave is in the interest of the University and to the extent that funds are available in the source(s) from which the salary is paid.

Appointees are not eligible for sabbatical leave (APM - 740).

e. APM - 140 (Non-Senate Academic Appointees/Grievances) shall apply to appointees in this series.

310-24 Authority

a. Authority to approve appointments, reappointments, merit increases, promotions, and terminations in this series, following appropriate review, rests with the Chancellor, except for certain above-scale salaries. The Chancellor has authority to approve above-scale salary levels up to and including the Regental compensation threshold. For salaries beyond the Regental compensation threshold, authority rests with The Regents on recommendation of the President, after appropriate review, and as prescribed in Section 101.2(a)(2) of the Standing Orders of The Regents.

b. An initial appointment or subsequent reappointment of any person following retirement may be made on a year-to-year basis and with specific approval of the Chancellor.

c. The Chancellor's authority as stipulated in APM - 310-24-a extends to the approval of promotions and merit increases having effective dates other than July 1.

d. The Chancellor's authority as set forth in APM - 310-24-a also extends to the approval of appointments, merit increases, and promotions which are retroactive (that is, with the beginning date prior to the date of approval).

310-80 Recommendations and Review

The provisions of APM - 220-80-c, -d, -e, -h, -i, -j, and 220-84-b, modified as appropriate in specific circumstances, apply to this series.