

Resolution to Recommend Establishment of the Titles
Research Scientist and Principal Research Scientist

WHEREAS, the College of Engineering has proposed the new titles of Research Scientist and Principal Research Scientist and;

WHEREAS, the Task Force on Non-tenure Track Faculty has endorsed the creation of these new titles, and;

WHEREAS, the Provost's Office has proposed guidelines for the use of these titles;

THEREFORE BE IT RESOLVED that Faculty Senate recommends to the Provost and the Board of Trustees that the two titles of Research Scientist and Principal Research Scientist be established as outlined in the following descriptions.

UFC approval
October 5, 2004

TITLE DESCRIPTION

RESEARCH SCIENTIST/PRINCIPAL RESEARCH SCIENTIST

Research scientists and principal research scientists are expected to initiate or lead research programs and to create new knowledge at a high level of achievement in an academic area of importance to the academic department. The differences between these titles relate to the balance in the individual's career between promise and achievement in establishing highly successful independent research programs.

Research scientists and principal research scientists are responsible for initiating or leading research activities; creating and managing research laboratories; seeking funding opportunities, submitting proposals, and fulfilling the terms of research grants and contracts; planning, conducting and reporting on original research; and representing their research groups externally. [Note: upon approval from VP Richardson, which is anticipated with authorization of these titles, add "Persons appointed to these titles may serve routinely as principal investigators on grants and contracts [link URL to PI policy]."]

Research scientist and principal research scientist titles are academic and should not be used for those whose positions are primarily administrative, even if the responsibilities include some research. Administrative responsibilities, however, are unavoidable in

creating and managing research laboratories, and this should not be interpreted to preclude appointment to these titles.

Research scientists and principal research scientists are appointed in academic departments. They are not members of the University Faculty. [The following sentence will require amendment of the Bylaws by the Trustees ... Research scientists and principal research scientists are non-voting members of their college or school faculty and may be given the right to vote by that faculty.] [Language to propose to the Graduate School: They are eligible for general membership on the Graduate Faculty if their responsibilities qualify them or if supervision of graduate students makes membership on special committees appropriate; general members of the Graduate Faculty may serve on graduate students' special committees [link URL].]

Research scientists and principal research scientists normally are not permitted to teach courses for credit. In the event that some teaching of courses for credit is desired by the individual and requested by the appointing department, this teaching must be consistent with the terms of their funding and must be approved by the dean (and, if different, the dean of the college responsible for the teaching). Where teaching is assigned, care must be taken not to shift teaching expense inappropriately to research grants or contracts. In no case should such an individual teach for an extended consecutive period – such an arrangement could indicate responsibilities appropriate to a professorial title [link URL] and should be subject to tenure policies.

Research scientists and principal research scientists must hold a research Ph.D. degree (or foreign equivalent [link URL]) from a reputable accredited institution, in a field appropriate to the position. Proof of Ph.D. conferral may be required [link URL]. To qualify for the title, research scientists and principal research scientists also are expected to have achieved significant stature in the scholarly discipline, to have demonstrated the quality of research accomplishment appropriate to initiating independent research programs, and to have demonstrated a trajectory that promises a continued high level achievement. General appointment restrictions, such as valid visa status, may apply [link URL].

Appointments to these titles must be salaried and are subject to affirmative action/equal opportunity (AA/EEO) search requirements [link URL]. While there may be a transition period before non-university funding supports the position, appointments are expected to be supported by non-university funds; the offering and reappointment letters must state that the appointment may be terminated or modified if funding is withdrawn or reduced. (This wording in the letter does not designate the appointment as "terminal" – a terminal appointment is one in which the appointee is notified that the appointment will not be renewed. Appointments of research scientists and principal research scientists, even on non-university funds, are subject to the provisions of the policy governing notice of non-renewal [link URL]). Provisions regarding start-up funds, facilities and support should be articulated in the initial appointment letter.

An individual may be appointed directly to the principal research scientist title or promoted from research scientist. The line of progression in these titles is limited to principal research scientist and research scientist. There is no routine expectation of promotion from senior research associate. There is no routine expectation of promotion from these titles to senior scientist, a title reserved for appointment of individuals of special distinction. If an out-of-progression title change is warranted, an AA/EEO search or approval of a waiver of search [link URL] is necessary.

Search procedures should follow those used by a department to fill professorial positions. Appointment length for principal research scientist and research scientist may be for up to five years. There is no “time-in-title” limit or restriction on the number of times the appointment to either title may be renewed. Benefits eligibility may be affected by the length and percent-effort of appointment [link URL]. A dossier-based review must be conducted for initial appointment. Through an exception approved by the department chair and the dean, the dossier-based review may be conducted during the first year, with continued appointment contingent on successful review. This dossier shall include letters from confidential external referees [link URL to difference between a search letter of reference and a confidential external referee’s dossier letter], letters from participants in current or recent research programs, an analytical transmittal letter with report of the faculty vote, and the report of an *ad hoc* committee to advise the dean, who makes the ultimate decision about appointment. Reappointment is based on quality of performance and on the availability of work and funds.

As for all academic titles, reappointment is not a right. Reappointment may be denied for such reasons as resource constraints, unreliable funding prospects, diminished interest in the research area, diminished relevance to the appointing unit’s research mission, or performance.

Promotion from research scientist to principal research scientist is based on quality of achievement, productivity, national and international stature in the field, leadership of the independent research program, effectiveness with colleagues and with participants in the research program, and service to the field. Promotion is not automatic, for example after a particular number of years in title. A formal dossier review is required for promotion to principal research scientist and follows the procedures for the dossier-based appointment review [link URL].

(9/27/04)