

Research Ranks at Indiana University

BL-ACA-A5

About This Policy

Effective Dates:

03-18-1980

Last Updated:

02-07-1984

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I. Scope

All research ranks on the Bloomington campus.

II. Policy Statement

Background

There is a need to create a more adequate system of ranks for full-time research specialists than the present single designation "Research Associate" (IR93). The need arises from two general problems. First, those academic units which have major research projects requiring highly-qualified research specialists on a full-time basis find it increasingly difficult to recruit and retain researchers for these positions because of Indiana University's lack of a defined career-ladder structure and reward system for non-faculty researchers who hold the doctorate. With major universities (especially those with the largest total research and development expenditures) adopting systems of research ranks for such persons, this university's competitive recruitment situation has become more difficult.*

A. Justification of Research Faculty Appointments

Indiana University's capacity for serving the scientific community and other clientele (e.g., industry, education, ~~governmental agencies) depends in part on being able to maintain facilities and organizations which are staffed by stable, well-qualified, cadres of research personnel. Such facilities as the Cyclotron, the Bureau of Evaluative Studies and Testing, the Workshop in Political Theory and Policy Analysis, and the various research and development operations of SPEA must be able to attract and retain top-flight researchers for non-faculty positions~~government agencies) depends in part on its ability to attract, retain, and support active, innovative, and successful research faculty. Research faculty play a crucial role in the campus's ability to produce new knowledge, train its students, and attract extramural funding. Academic units that have major research projects requiring highly qualified research specialists on a full-time basis may justify research appointments as essential to a unit's research/creative activity, teaching, and service missions.

Another problem arises from the University's need to define and assure career-ladder opportunities to full-time research employees in keeping with affirmative action policies. The 1979 report of a subcommittee of the Bloomington Faculty Council Affirmative Action Committee points out that over the last five years various University committees have repeatedly found the University's policies concerning research associates (IR93's) inadequate for recruitment, retention, and the evaluation of salary inequities and have recommended a variety of corrective hierarchy and representation of full-time researchers on policy bodies.

Categories

We propose that a three-rank system be created for those researchers who typically hold the terminal degree.

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and postdoctorate experience (or its equivalent) and who are employed by Indiana University for strictly research responsibilities. It is suggested that the research ranks be given the following rank codes and titles:

A separate rank code and title (Research Specialist) should be created for those individuals with lesser qualifications who are assigned to research jobs which are routine and supervised but call for qualifications and responsibilities greater than those of technicians (rank code TE). In addition, we propose that persons working at Indiana University as postdoctoral fellows be designated as Postdoctoral Fellows (with an appropriate, separate, rank code). The three-rank system would be regarded as a career ladder framework, with appropriate policies and procedures for appointment, annual review, and promotion. The creation of positions within the three-rank system, advertising for qualified candidates, selection and appointment procedures, annual review, promotion, and termination would be under well-defined procedures administered through academic units by the Vice Provost for Faculty and Academic Affairs and further subject to the policies, rules, and procedures of the Campus Affirmative Action Plan as administered by the Campus Affirmative Action Officer. Postdoctoral Fellows could be considered to be eligible to apply for a position in one of the research ranks under certain conditions upon satisfactory

completion of the term of the postdoctorate. Qualified Research Specialists could be eligible to apply for openings in the three-rank system but would not be considered automatically eligible for promotion to the beginning rank. The policies and procedures of the University Affirmative Action Plan would apply in determining eligibility for any of the research ranks (and for Research Specialist) and for determining eligibility of a person holding a research rank for any other University appointment.

- See *Non-Faculty Doctoral Research Staff in Science and Engineering in United States Universities*, Commission on Human Resources, National Research Council. See also: "Unfaculty": a growing factor in research," Science 204:286, April 20, 1979.

** The choice of "Scientist" or "Scholar" would be determined by discipline.

Care should be taken to make appointments in the appropriate classification. Such appointments require written justification that will be reviewed prior to approval at the campus level. The Vice Provost for Faculty and Academic Affairs shall have the final decision on whether a particular appointment is appropriate.

B. Qualifications for Rank

Research ranks constitute the five sets of titles articulated below. Sets II.B.1-3 are considered research faculty. The qualifications for each of the three research faculty ranks should be roughly equivalent to those set forth in the areas of research for members of the tenure-track faculty. Typically a

1. Assistant Research Scientist, Assistant Research Scholar, or Assistant Research Professor

A candidate for the rank of **Assistant Scientist/Research Scientist/Assistant Research Scholar/Assistant Research Professor** would have ~~to have~~ completed the terminal degree in ~~his or her~~their discipline and, in some fields, typically have at least one year of

successful postdoctoral research experience. A person at ~~this~~the rank of **Assistant Research Professor** would ~~be fully capable of conduct~~ original, independent research ~~work and/or creative activity~~ but typically would ~~may~~ initially work under the direction of a senior faculty member. A person at the rank of **Assistant Research Scientist/Scholar** will primarily support the research/creative activity of ~~an other~~ faculty members.

2. Associate Research Scientist, Associate Research Scholar, or a Senior Scientist/Associate Research Professor

A person at the rank of **Associate Scientist/Research Scientist/Associate Research Scholar/Associate Research Professor** would have begun to establish a national ~~reputation through published work and would~~ international reputation of scholarship. Associate Research Professors should have a growing body of original, independent research/creative activity. Associate Research Scientists/Scholars will typically have responsibility for carrying out independently, as principal investigator, projects of his or her own devising. Normally a person should have achieved a minimum of three years a reputation based primarily on collaboration with others and/or furthering the work of successful research as reflected in published work in refereed sources before attaining or being appointed to the rank of Associate Scientist a campus research unit.

3. A Senior Scientist, Senior Scholar, or Research Professor

A **Senior Research Scientist/Senior Research Scholar/Research Professor** would have shown a career of continued growth in scholarship, which has brought a national or international reputation as a ~~first-class~~ researcher who has made substantial

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contributions to his or her discipline, their discipline and/or research unit. The expectation is that Research Professors are capable of sustained extramural support.

4. Postdoctoral Research Fellow

A **Postdoctoral Research Fellow** is a limited-term employee with a doctorate who has come to Indiana University for research training. The term of employment within this rank is limited to five years.

5. Research Associate

A **Research Associate** is a limited or long-term employee whose primary duties are related to research, yet the employee does not have a terminal degree. A research associate is supervised by a faculty member who is responsible for designing their research projects and procuring funding for their positions.

C. **Appointment and Promotion**

For Assistant, Associate and Senior research faculty (sets of titles 1-3 above), appointment will follow the same procedures as for tenure-track faculty. Promotion in rank would be considered by following procedures comparable to those for librarians and faculty. Explicitly involves a campus-level procedure. Promotion criteria for promotion will be developed by the Vice Provost for Faculty and Academic Affairs, with the help of an advisory committee of faculty and current senior research associates. We anticipate that promotion and dossiers would be prepared by the scientist/research faculty's department or project unit and would be reviewed by the same review bodies, administrators, and advisory committees at the school and campus levels as those used for faculty/other faculty. See B16-2024 (correct policy number will be filled in later).

When considering promotion recommendations would be considered by the Campus Promotions Advisory Committee for research faculty, the Vice Provost for Faculty and Academic Affairs would augment the committee with two persons should ensure that the Campus Research Promotion Advisory Committee has members holding the rank of Senior Scientist, Senior Scholar.

Insurance: Persons holding the rank of Assistant Scientist, Associate Scientist, or Senior Scientist would participate in the same University life insurance plan as provided for faculty, and librarians (twice salary to maximum of \$50,000). Health insurance would be available to persons holding research ranks at their option, with the University paying a portion as with faculty and librarians. Persons appointed to research ranks for periods less than nine months would not be eligible for insurance/or Research Professor. For such cases, the Committee may be augmented if necessary.

Sick Leave: Persons holding any of the three research ranks would receive up to six weeks of sick leave at full pay and the balance of the semester at half pay and may request an extension beyond the end of the semester to a maximum of nine weeks at half pay.

Vacation: Persons appointed to research ranks for a twelve-month period would be entitled to a one-month vacation. No vacation with pay would be accorded persons on less than twelve-month appointments.

Postdoctoral Scholars are not eligible for campus-level promotion but may be appointed to the promotable research ranks through a school-internal process and VPFAA approval.

Because Research Associates have a single rank, they are not eligible for campus-level promotion within the research ranks. Nevertheless, their unit heads should ensure that Research Associates have sufficient opportunity to advance their careers through, for example, changes/expansions in duties and responsibilities and appropriate compensation.

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D. Personnel Policies

The chairperson of the department in which a scientist's project is located (or the project or institute director, in the case of projects not directly under an academic department) would initiate

1. Persons holding research ranks may have funded projects in multiple units. Nevertheless, one unit should be designated as the faculty member's primary unit, similar to a "tenure home" for tenure-track faculty. The head of that primary unit (e.g., a department chair or an institute director) initiates recommendations for the establishment of new positions, advertising plans, appointment, renewals of appointment, and recommendations for promotion. These recommendations ~~would be~~ reviewed and acted upon by the dean of the appropriate academic unit ~~(e.g., and by the Vice Provost for Faculty and Academic Affairs).~~

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College of Arts and Sciences, School of Business, School of Education, et al) and by the Vice Provost for Faculty and Academic Affairs. Associate Scientists/Associate Scholars/Associate Research Professors and Senior Scientists/Senior Scholars/Research Professors should normally ~~would~~ be appointed for periods of more than one year, depending upon the nature of ~~the~~their research missions to which they are assigned/creative activity trajectories, their

2. responsibilities, and funding prospects. It should be the ~~policy/practice~~ of the University to provide optimal conditions of job security to ~~Associate Scientists and Senior Scientists through~~research faculty, including the use of extended and open contracts, as funding permits.
3. Except for those persons holding research ranks who have been granted "research project tenure"*** (" (see II.D below), which carries a one-year termination period), the minimum notice of termination shall be the normal pay period (~~which is current policy for all non-tenure-line academic appointees~~). The University should make efforts to provide more advance notice whenever possible.
4. Persons holding research ranks ~~would do~~ not teach, except on a released-time basis and on an appointment to a ~~part-time~~an appropriate limited-term faculty rank approved by the Vice Provost for Faculty and Academic Affairs. ~~They would~~While research faculty are not evaluated on teaching, teaching assignments in support of research and creative activity should be eligible for sabbatical leaves included in annual evaluations.
5. Persons holding research ranks would not be eligible for consideration for tenure-line faculty rank, except as successful applicants responding to a normal, advertised search along with other candidates under affirmative action established procedures. Persons holding tenure-line faculty ranks are similarly not eligible for consideration for research faculty ranks, except as successful applicants responding to a normal, advertised search along with other candidates under established procedures.

It is recommended that persons holding research ranks be eligible for election to campus councils and the University Faculty Council on the same terms as faculty and librarians.

In order to provide for an orderly and representative system of consultation and mediation (when needed) with the Vice Provost for Faculty and Academic Affairs, those two deans shall appoint an advisory committee of research appointees with representatives from the major academic units employing researchers.
Project

E. Research Tenure

In view of the number of research projects in effect in the whole University program, and to afford some employment security to the many individuals concerned in carrying out those projects, the following policy, designated as "Research ~~Project Tenure,~~" has been adopted formally with the approval of the University Administrative Committee and the concurrence of the academic deans: Recognizing that some measure of security is desired and deserved by postdoctoral Research Associates (and perhaps others similarly situated) whose employment at Indiana University has had little or no connection with teaching duties, ~~it~~Tenure," has been adopted. It is recommended:

1. That it be recognized that, because of their expectations of long continuance, certain research projects ~~or units/institutes with continuing sources of funding~~ shall be designated as projects ~~or units/institutes~~ in which "research ~~project~~ tenure" can be achieved.
2. That the directors of such projects ~~and/or the head(s) of the units/institutes~~ be permitted to recommend, when they deem it proper—but not before the person to be recommended has served on the project ~~or in the institute~~ for at least a year—~~members of their staff for~~ "research project faculty for "research tenure." Such recommendation ~~is his~~constitutes testimony that the ~~project director has taken the decision that the~~ persons recommended for "research ~~project~~ tenure" are so important to the project ~~or unit/institute~~ that ~~in his opinion~~

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their employment ~~on the project~~ should be continued ~~through the life of the project~~indefinitely if the persons wish to continue being so employed.

~~3. That, when such a recommendation has been approved by the appropriate central administrative officials, the person shall be notified that he has been granted "research project tenure." Such designation, in addition to granting tenure during the life of the project save for termination for adequate cause, shall further assure each person so approved that he will be retained in the employ of Indiana University, at his customary salary rate, for a minimum of one year from the time it is decided—and he has been notified formally—that the project will be discontinued.~~

~~(Board of Trustee minutes: March 3, 1956, page 28)~~

~~In implementing this policy the following procedures and criterion should be applied:~~

~~1. Recommendations of project tenure from project or unit directors must be approved by the appropriate academic dean and the Vice Provost for Faculty and Academic Affairs who may appoint appropriate advisory committees of faculty and research personnel to assist them in reviewing such recommendations.~~

2. In recommending project research tenure, the project director or unit head must provide satisfactory evidence that funding for the possible one-year termination period is assured within the budget of the recommending units or from some outside extramural funding source.

3. That, a recommendation be made by an appropriate academic administrator (e.g., Dean or, in the case of University-level institutions, a responsible administrator in IU Research) and the Vice Provost for Faculty and Academic Affairs, who may appoint appropriate advisory committees of faculty to assist them in reviewing such recommendations. Upon a favorable recommendation, the research faculty shall be notified that they have been granted "research tenure." Such designation shall further assure each person so approved that they will be retained in the employ of Indiana University (save for termination for adequate cause), at their customary salary rate, for a minimum of one year from the time it is decided—and they have been notified formally—that their employment will be discontinued.

III. History

Approved: BFC 3/18/80, 12/1/09, XX/XX/XX; Trustees 2/7/81.

Related Information

- [ACA-20 Regulation of Research Appointments](#)
- [BL-ACA-A1 Academic Appointments](#)
- [BL-ACA-A3 Bloomington Campus Policies For Non-Tenure-Track Instructional Appointments](#)
- [B16-2024 Indiana University-Bloomington Principles and Policies on Tenure and Promotion](#)

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