

OTHER ACADEMIC APPOINTEES (OAA) GUIDELINES

Office of the Provost

Introduction

In a 1977 memorandum, Provost D. Gale Johnson announced the “administrative policies of the University” applicable to the ranks now enumerated in Statute 11.2.4.¹ The policies were never modified to take account of several important changes in practices that units instituted during the last thirty years. This document brings up to date, modifies and expands the 1977 document.

Persons covered in this memorandum have certain ERISA and other employee benefits. Policies published on the University Web site set forth what benefits are available to persons in each academic rank or title enumerated here.

It should be noted that there are persons who have a primary appointment or position in the University, including in Staff or Postdoctoral Researcher positions, while holding a secondary academic appointment. In those instances, the benefits they receive will be determined with reference to the primary position they hold in the University.

Relevant Statutes

11.2. *Other academic appointees.* The University also makes academic appointments that are not Faculty appointments, and are for a specified or unspecified length of term. Each of the following appointments shall be made for periods and upon terms consistent with the applicable administrative policies of the University, which are subject to change. No appointments under this section shall be eligible for or carry any implication of indefinite tenure. At the end of the term of appointment, employment by the University ceases unless the appointment is renewed, and the failure to give or receive a notice of termination shall not give rise to any contrary presumptions or implications either as to (1) promotion, or (2) reappointment. These other appointments are as follows:

11.2.4. *Research Associates, and Lecturers.* Research Associates are classified as follows: Research Associate (Professor), Research Associate (Associate Professor), Senior Scientist, Senior Research Associate, Research Scientist, Research Associate (Assistant Professor), Research Associate (Instructor), and Research Associate. Lecturers are classified as follows: Lecturer and Senior Lecturer.

11.4.1 All appointees under §11 are subject to removal for inadequate performance of duty or for misconduct.

¹ The Statutes enacted in June 2010 by the Board of Trustees renumbered the sections in Statute 11. Throughout this document the most recent numbers are used.

OTHER ACADEMIC APPOINTEES (OAA) GUIDELINES

Office of the Provost

Policies: Appointments, reviews, and termination

Without exception, all offers of appointment, reappointment or promotion require the prior approval of the Provost.

Appointments are normally in a department, school, or institute with appointive authority, must be approved by the Chair or Director, and recommended to the Dean with appropriate documentation.

An appointment with a specified end date is a term appointment. Term appointments terminate automatically at the end date specified in the appointment, absent a decision to reappoint. Unless the applicable Statute or written policies in the Provost's Office state otherwise, no prior notice is required that the appointee will not be reappointed.

Although for some appointments the date of termination is undetermined and not specified at the time of initial appointment, these appointments are not tenured or eligible for tenure, and are not more permanent than term appointments. They may be ended for programmatic reasons, due to the unavailability of external funds, or because of deficiencies in performance. Appointees must be notified at least one year prior to the date determined for the end of the appointment.

With the exception of Lecturers, part-time appointment, reduction of effort, personal leave, and academic leave are not normally available.

All appointees are subject to periodic review at prescribed minimum intervals, unless otherwise specified. All reviews are to be conducted by the faculty. Generally, reviews of appointments with an indeterminate end date are to be conducted every three years. Otherwise reviews are required at the time of reappointment, or at promotion. For appointees on one-year appointment, a full review is required at three-year intervals. Although a minimum period for review is stated, this shall not preclude the faculty from conducting a review at any time.

In cases of removal for inadequate performance of duty or misconduct, or in cases of long-term disability, notice periods do not apply.

Any decision to terminate an appointment prior to its scheduled end date, or to determine an end date for appointments where one has not been determined, must be reviewed by the Provost before it is communicated to the appointee or becomes effective.

OTHER ACADEMIC APPOINTEES (OAA) GUIDELINES
Office of the Provost

Research Appointees not in the Biological or Physical Sciences Divisions

Research Associates without Parenthetical Rank

Research Associate ²

The “Research Associate” title is not routinely used to make primary appointments in any unit of the University except in the Oriental Institute and the Urban Education Institute.

Description/Qualification: These appointments shall be held by people who hold a Ph.D., are engaged in research and are expected to make a substantial contribution to that research as part of a research group or in association with a faculty member.

Terms of Appointment/Reappointment: A Research Associate shall be appointed for a term of up to one year. There is no limitation on the number of years an individual may be serve as a Research Associate.

Senior Research Associate

Description/Qualifications: These appointments shall be held by persons with established professional skills. The primary activity of Senior Research Associates shall be research as part of a research group or in association with a faculty member. Senior Research Associate is the highest rank of research associate without parenthetical rank.

Terms of Appointment/Reappointment: Appointment to the position of Senior Research Associate may be made either with an undetermined end date or for a term of no more than five years. There is no limitation on the number of years a person may serve as a Senior Research Associate.

The faculty of the appropriate academic unit shall make an academic review of each Senior Research Associate with an undetermined end date at least every three years, or prior to reappointment. Termination of a Senior Research Associate with an undetermined end date may be made only after notice of termination has been given to the person at least one year before the date set for termination. Notice of termination for appointees on a five-year term shall be given at least five-and-one-half months in advance. For appointments for a term of fewer than three years, the termination of the individual's employment at the University requires no further notice.

² The “Research Associate” title was for many years used for people who were in the early postdoctoral stage of their research careers. Now, the University uses the title, “Postdoctoral Scholar.”

OTHER ACADEMIC APPOINTEES (OAA) GUIDELINES
Office of the Provost

Research Associates with Parenthetical Rank

Description/qualifications: Research Associates with parenthetical rank are independent researchers, normally holding a Ph.D. They are expected to stand alone on their scholarly accomplishments, and should meet the customary Chicago research standards of the rank they hold. Appointees are engaged in research and expected to make a substantial contribution to that research as part of a research group or in association with a faculty member.

Research Associate (Instructor)³

Terms of Appointment/Reappointment: A Research Associate (Instructor) shall be appointed for a term of up to one year. No person shall hold the rank of Research Associate (Instructor) for more than four years. When a Research Associate (Instructor) is not to be reappointed for the second or third year, notice of termination shall be given not later than March 15 of the last year of the appointment. When a Research Associate (Instructor) has held a full-time appointment for three years, and is reappointed for a fourth year, the appropriate academic unit shall review the case and recommend to the appropriate Dean that the Research Associate (Instructor) either be promoted at the end of the fourth year or not be reappointed at the end of the present term of appointment. The Research Associate (Instructor) shall be given notice of the decision no later than March 15 of the fourth year of the appointment. Persons whose appointive years end at dates other than June 30 or September 30 shall be given comparable notice.

Research Associate (Assistant Professor)

Terms of Appointment/Reappointment: A Research Associate (Assistant Professor) shall be appointed or reappointed for a term of up to three years. In no case shall a person hold the position of Research Associate (Assistant Professor) for more than six years. In the last year of the term of the appointment the appropriate academic unit shall review the case and recommend to the appropriate Dean either that the Research Associate (Assistant Professor) be reappointed as Research Associate (Associate Professor) or not be reappointed. The Research Associate (Assistant Professor) shall be given notice of the decision not to reappoint no later than January 15. Persons whose appointive years end at dates other than June 30 or September 30 shall be given 5.5 months notice.

Research Associate (Associate Professor)

Terms of Appointment/Reappointment: Appointment to the position of Research Associate (Associate Professor) shall normally be with an undetermined end date, or may be for a term of no more than five years. There is no limitation on the number of years a person may serve in this rank.

³ Note: This rank is in the 1977 scheme of four parenthetical ranks for Research Associates, which parallels the four faculty ranks. However, in the last decade the University has made an insignificant number of appointments at this rank.

OTHER ACADEMIC APPOINTEES (OAA) GUIDELINES

Office of the Provost

Termination of the employment of a Research Associate (Associate Professor) appointed with an undetermined end date may be made only after notice of termination has been given to the person at least one year before the date set for termination. When appointed for a specified term, the Research Associate (Associate Professor) shall be notified whether the appointment is non-renewable, in which case it terminates automatically on the end-date specified, or renewable. If the appointment is renewable, the Research Associate (Associate Professor) shall be given notice of the decision not to reappoint at least five-and-one-half months prior to the date set for termination.

Research Associate (Professor)

Terms of Appointment/Reappointment: Appointments of Research Associates (Professor) shall be made upon the recommendation, appropriately documented, of the Department or other appropriate academic unit and the Chair of that unit to the Dean of the Division or School, who shall make recommendations to the Provost.

Normally appointment to the position of Research Associate (Professor) is with an undetermined end date. Termination of the employment of a Research Associate (Professor) with an undetermined end date may be made only after notice of the termination has been given to the person at least one year before the date set for termination. Since appointment to Research Associate (Professor) should be made only for individuals with exceptional research abilities, termination of the appointment should be considered only when there are changes in the research program of the University or circumstances that would make the conduct of this particular research work no longer financially feasible at the University of Chicago.

OTHER ACADEMIC APPOINTEES (OAA) GUIDELINES
Office of the Provost

Research Appointees in the Division of the Biological Sciences

Description/Qualification: Shall be held by doctoral-level individuals who participate in the research program of a faculty member and for whom salary support is generally available from research grants and contracts. The term-durations of appointment and reappointment are contingent on the availability of funding.

Research Associate (Assistant Professor)

Terms of Appointment/Reappointment: Appointment may be made for up to three years. Normally, the number of years a person may serve in this rank is limited to nine years. In the last year of the term of an appointment shorter than three years, the appropriate academic unit shall review the case and recommend to the Dean either that the Research Associate (Assistant Professor) be reappointed as Research Associate (Assistant Professor), be promoted, or not be reappointed. The Research Associate (Assistant Professor) shall be given notice of the decision not to reappoint at least three months prior to the date set for termination. In the third and sixth years in rank, the appropriate academic unit shall review the case and recommend to the Dean either that the Research Associate (Assistant Professor) be reappointed as Research Associate (Assistant Professor), be promoted, or not be reappointed. Reappointment after each triennial review requires clear evidence of progress towards promotion before the time limit of nine years in rank, and the Research Associate (Assistant Professor) shall be given notice of the decision not to reappoint at least six months prior to the date set for termination. In the ninth year of appointment in this rank, the appropriate academic unit shall review the case and recommend to the Dean either that the Research Associate (Assistant Professor) be promoted to Research Associate (Associate Professor) or not be reappointed. The Research Associate (Assistant Professor) shall be given notice of the decision not to promote at least six months prior to the date set for termination.

Research Associate (Associate Professor)

Terms of Appointment/Reappointment: Appointment may be made for up to five years and requires high quality intellectual contributions to a research program, normally evident in peer-reviewed publications, peer recognition of high quality scientific accomplishments, and enhancement of research grant support. There is no limit on the number of years a person may serve in this rank. In the last year of the term of an appointment shorter than five years, the appropriate academic unit shall review the case and recommend to the Dean either that the Research Associate (Associate Professor) be reappointed as Research Associate (Associate Professor), be promoted, or not be reappointed. The Research Associate (Associate Professor) shall be given notice of the decision not to reappoint at least three months prior to the date set for termination. Every fifth year in rank, the appropriate academic unit shall review the case and recommend to the Dean either that the Research Associate (Associate Professor) be reappointed as Research Associate (Associate Professor), be promoted, or not be reappointed.

OTHER ACADEMIC APPOINTEES (OAA) GUIDELINES
Office of the Provost

Reappointment after each quinquennial review requires clear evidence of continuing research productivity consistent with the rank, and the Research Associate (Associate Professor) shall be given notice of a decision not to reappoint at least six months prior to the date set for termination.

Research Associate (Professor)

Terms of Appointment/Reappointment: Appointment may be made for up to five years and requires national recognition for investigative excellence in the specialty or subspecialty as well as for the other activities described above for the rank of Research Associate (Associate Professor). In the last year of the term of an appointment shorter than five years, the appropriate academic unit shall review the case and recommend to the Dean either that the Research Associate (Professor) be reappointed as Research Associate (Professor) or not be reappointed. The Research Associate (Professor) shall be given notice of the decision not to reappoint at least three months prior to the date set for termination. Every fifth year in rank, the appropriate academic unit shall review the case and recommend to the Dean either that the Research Associate (Professor) be reappointed as Research Associate (Professor) or not be reappointed. Reappointment after each quinquennial review requires clear evidence of continuing research productivity consistent with the rank, and the Research Associate (Professor) shall be given notice of a decision not to reappoint at least six months prior to the date set for termination.

OTHER ACADEMIC APPOINTEES (OAA) GUIDELINES
Office of the Provost

Research Appointees in the Division of the Physical Sciences

Research Scientist

Description/Qualifications: Normally a Research Scientist will be several years beyond the Ph.D., will have exhausted eligibility for a Postdoctoral Researcher position, and will be actively involved in the research led by a faculty member.

Terms of Appointment/Reappointment: Appointments of Research Scientists shall be made upon the recommendation, appropriately documented, of the Department or other appropriate academic unit and the Chair of that unit to the Dean of the Division who shall make recommendations to the Provost.

A Research Scientist shall be appointed or reappointed for a term of up to three years. In no case shall a person hold the position of Research Scientist for more than six years. In the last year of the term of the appointment the appropriate academic unit shall review the case and recommend to the appropriate Dean either that the Research Scientist be reappointed as Research Scientist, promoted to Senior Research Associate, or not be reappointed. The Research Scientist shall be given notice of the decision not to reappoint at least five-and-one-half months prior to the date set for termination.

Senior Research Associate⁴

Description/Qualifications: The primary activity of Senior Research Associates shall be research as part of a research group or in association with a faculty member. Qualifications for the ranks of Senior Research Associate in the Division of the Physical Sciences include significant publication record beyond thesis, strong evidence of independent research, a research program that would likely be funded for several years, and at least two outside letters and two internal letters of support.

Terms of Appointment/Reappointment: Appointment to the position of Senior Research Associate may be made either with an undetermined end date or for a term of no more than five years. There is no limitation on the number of times term appointments may be renewed. The faculty of the appropriate academic unit shall make an academic review of each Senior Research Associate with an undetermined end date at least every three years. Those on term appointment must be reviewed prior to renewal, with a full academic review at least every three years. Termination of a Senior Research Associate with an undetermined end date may be made only after notice of termination has been given to the person at least one year before the date set for termination. Notice of termination for appointees on a five-year term shall be given at least five-and-one-half months in advance.

Senior Scientist

Description/Qualifications: The primary activity of Senior Scientists shall be research as part of a research group or in association with a faculty member. Qualifications include evidence of major independent scientific research, excellent published research contributions, potential for additional contributions to the field,

⁴ PSD uses this title differently from the rest of the University.

OTHER ACADEMIC APPOINTEES (OAA) GUIDELINES

Office of the Provost

international recognition, and a research program that is likely to be funded for several years. Cases must include at least 3 outside letters and 2 internal letters of support.

Terms of Appointment/Reappointment The terms of appointment for Senior Scientists are the same as the terms of appointment for Research Associate (Professor). Senior Scientists are exempt from periodic review.

Teaching by Research Appointees Appointed in Any Unit

Before any research appointee engages in teaching, other than an occasional lecture in a course, it should be determined that such teaching is consistent with the source of funds used to pay the appointee. In most cases government financed research projects cannot be charged for the part of the appointee's time and effort that are devoted to teaching. An appointee's teaching must be approved by: (a) the unit in which the appointee is affiliated, (b) the department and dean of the academic unit in which the teaching is performed, and (c) the Provost's Office. Normally a Lecturer appointment will be sought in the unit in which the course is offered.

OTHER ACADEMIC APPOINTEES (OAA) GUIDELINES

Office of the Provost

Lecturer & Senior Lecturer

Lecturer

Description/Qualifications: This position shall be held by people whose contribution is to be primarily in teaching, normally in scheduled, for-credit courses. Appointments to the position of Lecturer may be for a term of up to three years. There is no limitation on the number of years a person may serve in this rank. The Lecturer position is not on a promotion track. Therefore, Lecturers are never automatically or routinely considered for appointment as Senior Lecturer.

To be considered full-time, during every quarter of the appointive year a Lecturer should have assigned duties, including teaching courses, teaching or advising in less formal settings, laboratory oversight, directing performances in an instructional program, or performing similar activities within an instructional program. Time devoted to research is not a constituent of one hundred percent effort for a Lecturer. If administrative duties are assigned, reduction of teaching load of more than 25% of the established full-time load must be consistent with the written policies of the department, division, school, or the College, and requires the approval of the Provost.

The faculty of the appropriate academic unit shall conduct an academic review of each Lecturer at least every three years, or at the time of reappointment. Lecturer appointments end on the date specified and no further notice is required.

Senior Lecturer

This position shall be held by people who have exceptional competence in teaching and superior academic credentials or professional competence, and who perform, in addition to the normal Lecturer role of classroom or laboratory teacher, in a substantial and sustainable role that requires one or more of the following:

1. Outstanding effectiveness and competence in teaching, including, e.g., advanced training in how students learn, program assessment, training new teachers in a field, and development or deployment of learning technology. Student evaluations alone are not evidence of this sort of competence.
2. Exceptional mastery of the subject matter taught (but excluding related subject matters, viz., exceptional language teaching is not a qualification to teach literature or history). Evidence of such mastery may be in the form of publications or letters from those competent to judge.
3. External recognition, in the form of invitations to present at professional conferences, to consult with or review external programs, peer-reviewed publications, or other published work.
4. A Ph.D. or other terminal degree when appropriate; or, professional experience sufficient to establish superior professional credentials.

The roles – or the work that needs to be done – might include the supervision and coaching of professional Lecturers, the responsibility for training and evaluating graduate students in their instructional roles, engagement with advanced graduate students in specialized course-work or, with the specific consent of the departmental faculty, on dissertation committees, or other plausible roles in addition to classroom teaching.

OTHER ACADEMIC APPOINTEES (OAA) GUIDELINES
Office of the Provost

Ongoing evaluations must put considerable weight on both how well that classroom work is done, and on the additional roles.

Appointments in this rank may be for a term of between one and five years, or with an undetermined end date. There shall be an academic review of each Senior Lecturer appointed with an undetermined end date at least once every three years. Senior Lecturers appointed for a specified term are to be reviewed prior to reappointment. Termination of employment of a Senior Lecturer on a five-year term may be made only after notice of termination has been given to the person at least five-and-one-half months before the date set for termination. Termination of the employment of a Senior Lecturer appointed with an undetermined end date may be made only after notice of termination has been given to the person at least one year before the date set for termination.

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