

Rules and Procedures of the Professional Researchers and Professional Specialists of Princeton University and Other Provisions of Concern to These Personnel

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This revised edition of the *Rules and Procedures of the Professional Researchers and Professional Specialists of Princeton University* defines the basic information of immediate interest and concern to professional researchers and professional Specialists and to other officers of instruction and administration. General information on the University's regulations may be found in [Rights, Rules, Responsibilities](#).

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Introduction

Preface

The ***Rules and Procedures of the Professional Researchers and Professional Specialists of Princeton University*** defines the basic information of immediate interest and concern to members of the professional research and professional specialist ranks and to other officers of instruction and administration. General information about the University's regulations may be found in [*Rights, Rules, Responsibilities*](#).

The pursuit of new knowledge through research constitutes a central component of Princeton's excellence. The University has long recognized that the successful functioning of an organization as complex as a modern university is dependent upon the close cooperation of its component parts. These parts include the faculty, researchers, specialists, librarians, and administration. The close association of these groups in a common task reflects the close association of teaching and research in the higher levels of education. With sustained and mutual reinforcement among these essential elements, the vitality of the institution is maintained and the advancement of knowledge and the development of high talent are accelerated.

Disclaimer

Particular rules and procedures set forth in this document may be changed from time to time by the Office of the Dean of the Faculty. Such changes are effective as set forth upon enactment, and information about them may be obtained from the Office of the Dean of the Faculty.

Nondiscrimination Statement

In compliance with Title IX of the Education Amendments of 1972, Section 504 of the Rehabilitation Act of 1973, and other federal, state, and local laws, Princeton University does not discriminate on the basis of age, race, color, sex, sexual orientation, gender identity or expression, religion, national or ethnic origin, disability, or status as a disabled or Vietnam era veteran in any phase of its employment process; in any phase of its admission or financial aid programs; or other aspects of its educational programs or activities. The Vice Provost for Institutional Equity and Diversity is the individual designated by the University to coordinate its efforts to comply with Title IX, Section 504 and other equal opportunity and affirmative action regulations and laws. Questions or concerns regarding Title IX, Section 504 or other aspects of Princeton's equal opportunity or affirmative action programs, should be directed to the Office of the Vice Provost for Institutional Equity and Diversity.

All recommendations for appointment to Professional Researcher, Professional Specialist, and Professional Librarian positions must result from a search. Departments, projects, and programs are also urged to review their promotion decisions in light of the University's commitment to ensuring equity within their units. Advertisements for positions should be submitted to the Academic Affairs staff in the Office of the Dean of the Faculty for approval prior to posting. All appointments to these ranks require an advanced or professional degree. Advertisements must be posted for at least one month before the conclusion of the search, at which time an offer may

be made upon the approval of the Associate Dean for Academic Affairs. Advertisements must be resubmitted for approval by the Associate Dean or Assistant Dean if the search continues or is reopened more than one year after the prior approval or if there are any changes (including but not limited to the position description) in the text.

Chapter I: The University Research Organizations

A. University Research Board (URB)

The University Research Board (URB) establishes the policies and regulations that govern research activities. Its primary responsibility is to make policy for the solicitation, acceptance, and administration of research grants and contracts, and to monitor the implementation of such policies. The URB meets on a regular basis during the academic year.

The University Research Board consists of six members of the faculty. Two faculty members are elected by the faculty at large by a system of the alternative vote and four faculty members are appointed by the president. Each of the University's four divisions is represented by at least one member. Faculty members normally serve four-year terms and are not eligible for immediate re-election or reappointment after serving a full four-year term, except in unusual circumstances.

The Dean for Research serves as chair and the director of the Office of Research and Project Administration serves as administrative officer. An administrator from the Office of the Dean for Research serves as secretary. The Treasurer and Dean of the Graduate School also sit on the committee. When necessary, the Provost, Dean of the Faculty, Vice President for Development, General Counsel, and Director of Environmental Health and Safety meet with the board. Other individuals may sit with the board as needed. The URB advises the Dean for Research and the President on matters pertaining to research administration and policy.

B. Office of the Dean for Research

The Dean for Research oversees the solicitation and administration of external funds through the Office of Research and Project Administration and the Office of Corporate Engagement and Foundation Relations. The Office of Research and Project Administration provides central administration services for all sponsored research projects, including proposal reviews and submission, grant and contract negotiations, and sponsored research award management and maintenance. The Office of Corporate Engagement and Foundation Relations provides central support for developing and stewarding proposals for research funding and gifts from corporations and private foundations. Five committees of the faculty are organized under the Dean for Research to perform oversight mandated by the federal government.

Committees Governing Research

The committees charged with oversight of research projects and their compliance with federal, state, and University regulations report to the Dean for Research. This reporting structure facilitates the development of an integrated and effective institutional compliance program covering all facets of research. The committees are comprised in compliance with federal regulations and consist of faculty members, staff members with expertise in the particular area of each committee, and, where appropriate, community representatives. Please refer to the Office of the Dean for Research for current committee membership. New members are

recruited through the Office of the Dean for Research in consultation with the chair of the relevant committee and are appointed by the Dean for Research. Committee terms are normally for three years.

In addition to oversight responsibilities in their respective areas, these committees advise the Dean for Research on relevant policy. The Institutional Animal Care and Use Committee, Institutional Biosafety Committee, and Institutional Review Board for Human Subjects are administered through the Office of Research Integrity and Assurance. The Radiation Safety Committee is administered through the Office for Environmental Health and Safety.

Institutional Animal Care and Use Committee

The Institutional Animal Care and Use Committee is responsible for ensuring appropriate care and use of animals involved in the University's research, educational, and training activities. The committee is also responsible for University compliance with federal policies and procedures governing the care and welfare of animals. The Institutional Animal Care and Use Committee is comprised in a manner that complies with current federal regulations and that provides the breadth of expertise necessary for adequate review of the range of research involving animals at the University. At the discretion of the committee, appropriate individuals are invited to sit with the committee without a vote.

Institutional Biosafety Committee

The Biosafety Committee is responsible for the review and oversight of a variety of projects that involve biological materials, including recombinant DNA, infectious agents, and biohazardous material. The Biosafety committee is comprised in a manner that complies with current federal regulations. There must be sufficient collective expertise on the committee to conduct an effective review of the full range of projects at the University that involve recombinant DNA, infectious agents, and other biohazardous material. The review should ensure that the project is conducted with appropriate containment levels, practices, facilities, and expertise. The committee should also have expertise in the risk to the environment and to public health. At the discretion of the committee, appropriate individuals, including departmental safety officers and individuals with specific appropriate expertise, are invited to sit with the committee without a vote.

Institutional Review Board for Human Subjects

By federal mandate, the Institutional Review Board for Human Subjects (the IRB) is responsible for reviewing research projects involving human subjects to ensure that such research activity at the University does not expose any research subject to an unjustifiable risk or unduly invade their privacy. The IRB ensures that each research proposal contains provisions for securing the informed consent of participants, free from undue pressure, prior to the start of research. All members of the University community, including students, must obtain approval from the IRB before initiating any research project involving human subjects. The Board also ensures that the policies and procedures of the University with regard to research involving human subjects

comply with federal and other government requirements. The membership of the IRB is composed in a manner that complies with current federal regulations. At the discretion of the board, appropriate individuals, including ad hoc experts or consultants, may be invited to sit with the board without the ability to vote.

Radiation Safety Committee

The Radiation Safety Committee is responsible for oversight of the University's radiation safety program. It grants authorization to principal investigators and other senior staff members who plan to work with radioactive materials, reviews incidents involving radioactive materials, sets policies for the use of sources of radiation, and gives general supervision for the implementation of those policies. The Radiation Safety Committee is chaired by a senior faculty member and is composed of various faculty members, the director of Environmental Health and Safety, the University's radiation safety officer, and other relevant personnel.

Human Remains Oversight Board

The Human Remains Oversight Board (the HROB) is responsible for providing guidance and oversight for research, educational, and training activities involving human remains, as defined by University policy. The HROB will function in a manner consistent with applicable policies, laws, and regulations, including the Native American Graves Protection and Repatriation Act (NAGPRA). All members of the University community, including students, must obtain approval from the HROB before initiating any University activities involving human remains. The HROB reviews proposals and makes recommendations for the University's acquisition, usage, storage, display and deaccession of human remains; and maintains a register of human remains in the possession of the University or used under the auspices of the University. The HROB is comprised in a manner that provides the breadth of expertise necessary for adequate review of the range of possible activities involving human remains at the University. At the discretion of the HROB, appropriate individuals, including external experts, may be invited to sit with the HROB without the ability to vote.

C. Committee on Appointments and Advancements for the Professional Researchers and Professional Specialists

The Committee on Appointments and Advancements for the Professional Researchers and Professional Specialists (C/7) advises the Dean of the Faculty on policies relating to the appointments, promotions, salaries, and terminations of professional researchers and professional specialists. In particular, the committee reviews and advises the Dean of the Faculty on all appointments and promotions to positions carrying continuing appointment and reviews the salaries of individuals with the rank of Senior Research Scholar, Research Scholar, and Senior Professional Specialist, as well as promotions of senior PPPL researchers.

The committee has six members appointed by the Dean of the Faculty, selected from among members of the faculty, the professional researchers, the professional specialists, and members of the Princeton Plasma Physics Laboratory scientific staff. The six appointed members serve for

staggered three-year terms and there must be at least one member from each of these four groups. The Dean for Research serves as chair, and an Associate Dean of the Faculty serves (without vote) as secretary.

Chapter II: Professional Researchers

A. Responsibilities

(1) Professional researchers are primarily involved in adding to knowledge by participation in one or more of the research programs of the University.

(2) Although the majority of professional researchers are engaged in basic research programs conceived and directed by members of the faculty, they may have the opportunity to lead research programs that are of interest to the University community as described by the University Research Board (see [here](#)).

(3) Professional researchers may also from time to time be invited to teach in one of the academic departments of the University and take on the additional title of Lecturer under conditions described in [Section C](#).

B. Ranks and Terms of Appointments

Depending upon their ranks, professional researchers may be appointed with or without continuing appointment. Continuing appointment provides that an academic professional serve with the understanding of continued employment at the University (without a term end date), with salary adjustments and promotions when appropriate, and until retirement or other voluntary termination (such as resignation).

Continuing appointment may be granted to academic professionals in eligible ranks who continue to contribute to the University, whose performance is of consistently high quality, and who demonstrate merit and achievement in their profession. Continuing appointment for researchers and specialists is reviewed by the C/7, upon recommendation from their department chair, director, or unit head. Continuing appointment is based upon (1) performance of the highest quality; (2) financial resources – the research or services provided by the academic professional must continue to receive funding, generally from external sources or project-based University funding; and (3) strategic priorities – the projects or services for which the academic professional is responsible must remain central to the interests of their department or program.

Academic professionals with or without continuing appointment may be subject to disciplinary action, including but not limited to suspension or termination, due to continuing unsatisfactory performance, or for conduct which has been shown to violate DOF or other University policies.

1. Senior Research Scholar, Research Scholar, and Associate Research Scholar

The three professional researcher ranks reflect increasing attainment and distinction in research scholarship, independence of research activities, and ability to guide and direct others in programs of research. A doctoral degree or its equivalent in the appropriate field is required for appointment to these ranks.

a. Senior Research Scholar

Senior Research Scholar is the most senior research rank and is conferred upon those

with recognized distinction in their field of research. Staff members at this rank, whether promoted or appointed from outside the University, ordinarily serve with continuing appointment.

b. Research Scholar

Researchers promoted to this rank ordinarily serve with continuing appointment. When an initial appointment is made at this rank, it may be either with or without continuing appointment. If the latter, the appointment of a Research Scholar shall be reviewed by the department and/or program and by the C/7 no later than the third year of appointment to consider granting continuing appointment.

For Research Scholars (whether promoted from ARS or hired into this rank), continuing appointment is contingent upon external funding that covers at least their own salary and benefits. The Research Scholar need not be the PI on these grants, but they must be named in the project budget to ensure continuity of funding. University funds are not ordinarily available to support professional researchers. The maximum term length for Research Scholars without external funding is 3 years, renewable.

A Research Scholar who becomes the parent of a child by birth or adoption will automatically be granted a one-year extension before review for promotion by the Dean of the Faculty. The Research Scholar's service may be extended by one year for each child, including twins and other multiple births or adoptions. Notifications of such extensions should be made by the Research Scholar's department in writing to the Dean of the Faculty as soon as possible after the childbirth and/or adoption, but in no case later than September fifteenth of the year in which a recommendation on the Research Scholar's promotion must be made.

c. Associate Research Scholar

Appointments at or promotions to the Associate Research Scholar rank are 3-year term appointments. Normally, ARS appointments are extended for a second three-year term.¹ During the sixth year in the rank (or earlier in exceptional cases), they are reviewed by their departments or programs for promotion to Research Scholar with the provision of continuing appointment.

Recommendations for promotion with continuing appointment are reviewed by the C/7. Associate Research Scholars not recommended for promotion at the time of this review may be appointed for a terminal year at the request of the appointing department/center/institute and with the approval of the C/7 and the Dean of the Faculty.

An Associate Research Scholar who becomes the parent of a child by birth or adoption will automatically be granted a one-year extension before review for promotion by the Dean of the Faculty. The Associate Research Scholar's service may be extended by one year for each child,

¹ Under certain circumstances related to external grant funding, a Principal Investigator may request that the initial ARS appointment be for one year, with the approval of the Associate Dean for Academic Affairs. Subsequent reappointments must be multi-year, as described above.

including twins and other multiple births or adoptions. Notifications of such extensions should be made by the Associate Research Scholar's department in writing to the Dean of the Faculty as soon as possible after the birth of a child and/or adoption, but in no case later than September fifteenth of the year in which a recommendation on the Associate Research Scholar promotion must be made.

2. Senior Scholar

Individuals appointed to the Senior Scholar rank have retired from distinguished scholarly/scientific careers in academia, in research institutions, in public service, or in industry. They pursue their own scholarly research either individually or in collaboration with Princeton University faculty members and researchers. Facilities and resources may be provided for them by the sponsoring academic unit.

Emeritus Princeton faculty members may be appointed Senior Scholar if they serve as principal investigators on sponsored research projects and/or maintain active research programs at the University. Other distinguished retirees may be appointed to this rank on the recommendation of a department, center, or institute and with the approval of the Committee on Appointments and Advancements for the Professional Researchers and Professional Specialists (C/7).

Senior Scholars normally have no specific responsibilities in teaching or research but are encouraged to participate in department, center, and/or institute programs and to interact with faculty members, researchers, and students in informal settings. They ordinarily do not receive salaries from the University. However, on those occasions when a Senior Scholar is asked to provide a specific service to the University, arrangements must be made in advance, through the Office of the Dean of the Faculty, to compensate them appropriately. Such compensation will normally be provided through a research project grant (when the service involves participation in a sponsored research project) or a part-time teaching appointment (see [Rules & Procedures of the Faculty of Princeton University](#)).

During any semester when they are appointed to teach, normally a Senior Scholar will temporarily also hold the rank of Lecturer with Rank of Professor (if an emeritus Princeton University faculty member) or Lecturer (otherwise). Emeritus Princeton faculty members who hold the rank of Senior Scholar may serve as principal investigators on sponsored research projects.

The duty time for total compensated service is expected to be nominal and may not exceed 49%, with the exception of our emeritus faculty members who can support themselves on research project grants. Normally, those holding this rank are not eligible for Princeton University employee benefits, with the exception of those emeritus faculty members who can support themselves at 50% or greater duty time. Like other Dean of the Faculty appointees, those at the rank of Senior Scholar may not be compensated by Princeton University as consultants or short-term professionals. Senior Scholars are also not eligible for stipend payments from the University.

Term of Appointment: Appointments/reappointments to the rank of Senior Scholar are normally for renewable one-year terms. However, these appointments/reappointments may be made for a term of three years at the request of the sponsoring academic unit and with the approval of the C/7.

- The appointments of emeritus Princeton University faculty may be renewed annually by the Dean of the Faculty on the recommendation of the sponsoring department.
- Appointments of individuals who are not emeritus Princeton University faculty may be renewed on evidence of continued scholarly productivity, if recommended by the sponsoring academic unit and approved by the C/7 at the time of the initial appointment. Annual reappointment requests may be approved by the Dean of the Faculty.

C. Procedures for Appointments, Promotions, Terminations, and Changes in Salary

All appointments, promotions, terminations, and changes in salary for professional researchers will be recommended by the chair of the departments (or directors of designated programs) concerned in accordance with procedures approved by the Dean of the Faculty. Such recommendations are submitted to the Dean of the Faculty for approval. Recommendations relating to the ranks of Senior Research Scholar and Research Scholar will be submitted by the Dean of the Faculty to the C/7 for advice.

Except in rare and unusual circumstances, all recommendations for promotions and changes in salary are submitted during the spring as part of the annual review of rank and salary levels for all professional researchers. Topics of review include responsibilities, performance, and research contributions. The fair and frank assessment by an appropriate supervisor should be formulated and communicated to each researcher. The method by which this communication takes place may vary. Each researcher is entitled to an appraisal statement that reflects what is submitted to the Dean of the Faculty as part of the annual salary review. The review provides a natural occasion for considering extension of appointment for researchers serving without continuing appointment and to ensure that salary levels and ranks are appropriate. Associate Research Scholars who are entering their final years of eligibility for this rank should be given a realistic assessment of the probability of promotion to the rank of Research Scholar with continuing appointment.

Appointment or promotion to the Research Scholar and Senior Research Scholar ranks is based primarily on excellence in original and creative research as demonstrated by the individual's publications, by letters of recommendation from authorities in their area of competence outside the University, and by the vote of the tenured faculty members of the department according to procedures approved by the Dean of the Faculty. Appointment or advancement (from the postdoctoral ranks) to the rank of Associate Research Scholar is similarly based primarily on demonstrated research skills and the recommendation of the department chair or center/institute director.

Skill in the administration/coordination of research programs or in the design, maintenance, and operation of instrumentation and equipment does not constitute a basis for appointment to any researcher rank. The predominance of such skills is more appropriately recognized by appointment or advancement (from the postdoctoral ranks) to a professional specialist rank. Although recognized as important to the successful operation of a department, center, or institute, demonstrated ability in teaching, whether in a laboratory or classroom, does not constitute a basis for appointment or promotion to any researcher rank.

Competence in teaching is more appropriately recognized by appointment to the teaching faculty. Members of the researcher ranks are also occasionally invited to teach in one of the academic departments of the University. Researchers who combine teaching with their research duties are given the additional title of Lecturer during the semester in which they are assigned to teach and upon recommendation of the department chair and approval of the Dean of the Faculty.

Chapter III: Professional Specialists

A. Responsibilities

Individuals in the professional specialist ranks perform professional work in the academic departments, institutes, centers, research programs, the Art Museum, the Library, and other units of the University under the direction of members of the faculty, department chairs, and/or unit directors. They may be engaged in work demanding special knowledge and training in any of a number of disciplines, including but not limited to scientific and engineering disciplines, research computation, and arts and letters. They may also be given responsibilities for managing, supervising, or advising other professionals, students, or members of the University's support staff.

Individuals at the professional specialist ranks have normally completed an advanced or professional degree in a discipline relevant to their work. The descriptions of the three professional specialist ranks set forth the minimum levels of achievement and responsibility expected of those appointed or promoted to each rank. While encouraged to make original contributions in the area of research for which they are employed, those at the professional specialist ranks are less likely to have opportunities to pursue independent research work which might lead to publications than individuals in the research ranks. Consequently, changes in salary and promotions are based chiefly on their contributions to the programs in which they work, rather than on their contributions of new knowledge in their disciplines.

In some instances, those in the professional specialist ranks are called upon to instruct, advise, and supervise students in their areas of responsibility. However, any formal teaching assignment requires the recommendation of the department or program and the approval of the Dean of the Faculty.

B. Ranks and Terms of Appointments

1. Senior Professional Specialist

Appointment to the rank of Senior Professional Specialist is reserved for individuals who have made outstanding achievements in their fields of expertise and/or who have been assigned major administrative responsibilities for technical efforts of their departments or programs. While they may be productive scholars, other responsibilities of their positions do not allow them to devote the majority of their time to independent scholarship. An advanced or professional degree in the designated specialty is normally required.

- Senior Professional Specialists who serve at this level because of their technical achievements have broad and intensive professional abilities that have made them innovators in their fields. They often share in the formulation of problems on which they work, and they usually determine the procedures used to reach solutions. They deal with novel and unusual problems whose solutions require the development of new techniques and procedures. Their advice may be sought by other members of the University community. They are given determinant responsibility for the technical progress of projects which cannot be completed without their contributions.

- Senior Professional Specialists who serve at this rank because of managerial responsibilities are required to motivate and manage groups of professional and non-professional personnel. Under their supervisors (normally department chairs or program directors), they are given determinant responsibility for projects of small or medium size, or they share responsibility for the management of large projects.

Term of Appointment - Individuals promoted or appointed to the rank of Senior Professional Specialist normally serve with continuing appointment, that is, with the understanding of continued employment, with salary adjustments when appropriate, until retirement so long as (1) they are able to, and do in fact, perform satisfactory work, (2) research within their departments or programs requiring their professional skills continues to receive external funding, and (3) the projects on which they are employed remain central to the interests of their departments or programs. Recommendations relating to the rank of Senior Professional Specialist will be submitted by the Dean of the Faculty to the Committee on Appointments and Advancements for the Professional Researchers and Professional Specialists for advice. At the time of appointment or promotion to this rank, the sponsoring department or program may request that the Senior Professional Specialist be granted permission to serve as principal investigator for grants and contracts without specific approval of the [University Research Board](#).

2. Professional Specialist

Individuals are appointed to the rank of Professional Specialist because they have exceptional competence in their fields and/or have important managerial responsibilities. Normally they receive directions from their supervisors only about the results they are expected to achieve, and their efforts are essential to the progress of projects on which they work. In some cases, they may devote part of their time to independent scholarship. An advanced or professional degree in the designated specialty is normally required.

- Those who reach this rank because of their technical expertise have advanced professional knowledge and skills. They are expected to solve problems that require the extension of conventional theories or practices or the development of new techniques. They are normally given determinant responsibility for technical aspects of projects or parts of projects and consult with their supervisors only about unusual developments or problems in the progress of those projects.
- Those serving at the rank of Professional Specialist because of managerial responsibilities have mastered the knowledge and skills of their disciplines and, in addition, have the managerial skills necessary to motivate others and manage the schedule for a group of professional and support personnel. They may also share the responsibility for fiscal management of projects.

Term of Appointment - A Professional Specialist normally serves at the pleasure of the University. Initial appointments may be made for specific periods of up to one year after which the reappointment will be without specific end date. There is no limit to the amount of time an individual may serve in this rank.

3. Associate Professional Specialist

Individuals appointed at the rank of Associate Professional Specialist normally have an

advanced or professional degree in the designated specialty. In fulfilling the responsibilities given to them by their supervisors, they manage their own time, integrate their efforts with the efforts of others, and normally receive only general directions about the results they are expected to achieve. Their work requires the substantial adaptation of conventional methods and procedures to obtain solutions of problems which are diverse but have precedents. Their supervisors may give them technical guidance on unusual or complex problems. They may lead small groups of research and/or technical specialists or support personnel and/or have primary responsibility for the maintenance and operation of major pieces of equipment. Their work is central to the ability of departments or programs to meet deadlines or complete projects.

Term of Appointment - An Associate Professional Specialist normally serves without specific end date. Initial appointments may be made for specific periods of up to one year after which reappointment will be without specific end date. There is no limit to the amount of time an individual may serve in this rank.

4. Reviews for Continuation of Appointments, Salary Changes, and Promotions

The ranks and salary levels of individuals in the professional specialist ranks are meant to recognize their professional standing in their disciplines, their technical knowledge and skills, their creativity and productivity, and their technical and supervisory responsibilities. The performance and responsibilities of each professional specialist are reviewed at least annually, normally during the annual salary review each spring.

The purposes of this review are to consider continuation of appointment for professional specialists serving without the provision of continuing appointment, to ensure that salary levels and ranks of professional specialists are appropriate, and to give a fair and frank assessment of their performance as judged by their supervisor and department chair or program director. The methods by which this assessment is communicated to each individual vary with different supervisors and departments or programs, but each individual is entitled to a statement of the appraisal of their performance that is submitted to the Office of the Dean of the Faculty as part of the annual merit review each spring. Individuals at the ranks of Associate Professional Specialist and Professional Specialist may be reviewed for promotion concurrently with any annual salary review.

C. Procedures for Appointments, Promotions, Terminations, and Changes in Salary

All appointments, promotions, terminations, and changes in salary for individuals at the professional specialist ranks are recommended by the chair or director of the appropriate unit according to procedures approved by the Dean of the Faculty. Such recommendations are submitted to the Dean of the Faculty for approval. Recommendations relating to the rank of Senior Professional Specialist will be submitted by the Dean of the Faculty to the Committee on Appointments and Advancements for the Professional Researchers and Professional Specialists for advice.

Except in rare and unusual circumstances, all recommendations for promotions and changes in salary are submitted during the spring as part of the annual review of rank and salary level.

Chapter IV: Postdoctoral Researchers

A. Ranks and Terms of Appointments

The postdoctoral researcher ranks are used for term-limited appointments enabling recent Ph.D. recipients to develop professional maturity, judgment, and experience through close association with the faculty, more senior researchers, and professional specialists on research projects. Normally, researchers who serve in these ranks in the humanities and social sciences have less than three years of post-Ph.D. research experience prior to appointment or reappointment; in the natural sciences and engineering, researchers should have less than five years of post-Ph.D. experience. Except in the event of dismissal for cause, postdoctoral researchers (whose appointments will include a specific termination date) will, unless reappointed, terminate at the specified date without further notice or severance pay. All postdoctoral researchers in the social sciences, natural sciences, and engineering are required to complete a course in Responsible Conduct of Research (RCR). Our policy for RCR training may be found [here](#).

1. Postdoctoral Research Fellow

Postdoctoral Research Fellows are supported by Princeton University-sponsored training grants or fellowships from external agencies and may also receive salary supplements from the University. The University may or may not be given the responsibility of administering the disbursement of their stipends; this will not affect their appointment rank. They carry out their research and training programs in University facilities using resources allocated by the sponsoring department or academic unit. Postdoctoral Research Fellows must have completed all requirements for the Ph.D. before their appointments are approved.

Term of Appointment - Appointments at the rank of Postdoctoral Research Fellow (PDRF) are normally 100% duty time for one full year and may be renewed annually for the term of the fellowship.

Normally, an individual may hold appointments as a Postdoctoral Research Fellow if they have no more than a combined total of three years of post-Ph.D. research experience in the humanities and social sciences and five in the natural sciences and engineering. However, when a Postdoctoral Research Fellow in the natural sciences or engineering succeeds in obtaining two successive three-year postdoctoral fellowships, they will be permitted to remain at this rank for six years. Tax and earnings code regulations require that transfers from, or revisions in, rank to or from PDRF must occur on the first of the month. Additionally, transfers or revisions may not cross the calendar year. At the conclusion of the final appointment as a Postdoctoral Research Fellow, the individual must be promoted to the appropriate Associate Research Scholar or Professional Specialist rank or be terminated.

Institutional Allowance - It is important that prospective and current Postdoctoral Research Fellows understand the policy (below) concerning institutional allowances at the time of

submitting an extramural funding application. They should include the institutional allowance in any proposal budget, subject to the solicitation or guidelines of the foundation, government agency, or other sponsor. If the institutional allowance is not allowable or ultimately awarded by a sponsor, the relevant department or center must absorb this cost.

1. The University will charge an institutional allowance for all Postdoctoral Research Fellow appointments.
2. The institutional allowance is charged at the time of appointment.
3. Appointments that are renewed are subject to the rate in effect at the time of each renewal.
4. The amount of the institutional allowance is set for each academic year by the Office of the Dean of the Faculty in consultation with the Office of Finance and Treasury and communicated by a memo.

2. Postdoctoral Research Associate

The rank of Postdoctoral Research Associate is typically used for postdoctoral appointments that are supported by external project grants or University (department, institute, center or program) funds. Researchers at this rank are expected to contribute their skills to the research programs of the appointing unit and/or supporting project. Postdoctoral Research Associates are expected to have a completed Ph.D. degree by the time of appointment. Postdoctoral Research Associates are staff members (employees) of the University.

Term of Appointment – Researchers at the rank of Postdoctoral Research Associate are ordinarily appointed at 100% duty time for one year at a time. Appointments are reviewed annually to consider reappointment and salary level. Promotion or reappointment can be made on an anniversary date cycle (e.g. 10/01/2023 - 10/01/2024). After the first full-year appointment, subsequent renewals are normally made for one-year periods. In cases where funding is limited or other unusual circumstances exist, the Dean of the Faculty may permit renewal for less than one year; if such a truncated renewal is to be further extended, it must bring the renewed term to a full year. Postdoctoral Research Associates are eligible to be reappointed in this rank if they have less than three years of post-Ph.D. research experience in the humanities and social sciences or less than five years of post-Ph.D. research experience in the natural sciences and engineering prior to reappointment.

Postdoctoral Research Associate candidates being recommended for appointment in the natural sciences or engineering who join the University having already completed a three-year postdoctoral appointment elsewhere may be appointed at Princeton as a Postdoctoral Research Associate for a maximum of three years, thus bringing the total years in rank to six. Postdoctoral Research Associates who have not advanced to the rank of Associate Research Scholar or Professional Specialist (depending upon their ongoing job responsibilities) after three years of service in the humanities and social sciences or five years of service in the natural sciences and engineering will ordinarily not be reappointed.

3. Senior Research Assistant

The rank of Senior Research Assistant is used for individuals who have been offered and have accepted positions as Postdoctoral Research Associates but who have not yet provided acceptable proof of Ph.D. The salary for this appointment will meet the University minimum requirement for exempt employees and normally be at a rate that is 10% below the salary offered/accepted for the Postdoctoral Research Associate position. Senior Research Assistants are staff members (employees) of the University.

Term of Appointment – Appointment at the rank of Senior Research Assistant is limited to a single term of one year. Senior Research Assistants who provide acceptable proof of the successful completion of all requirements for the Ph.D. from an institution's Registrar or Graduate School during this term will be promoted to the rank of Postdoctoral Research Associate for the remainder of the existing term and may be reappointed at the postdoctoral rank. Note that someone who is at the Senior Research Assistant rank for one year and has not received proof of Ph.D. cannot be transferred to another Office of the Dean of the Faculty rank.

4. Postgraduate Research Associate

Princeton University offers the Postgraduate Research Associate (PGRA) postdoctoral program to incentivize the completion of degree for selected Ph.D. students. Participating humanities and social science departments nominate students for consideration to the Graduate School. Graduate students who are selected for this program transition directly to a PGRA appointment if they finish their Ph.D. by a certain date during the semester. Postdocs in this program can then use their time to pursue their own research interests and strengthen their qualifications for the academic job market. Because of the unique nature of this program, the Graduate School and the Office of the Dean of the Faculty work closely together on certain aspects of these appointments. Postgraduate Research Associates are staff members (employees) of the University.

Term of appointment - The PGRA appointment is between 6 to 12 months in length; the timing provides a bridge between the early completion of a Ph.D. and when an academic job would typically begin. In this way, a student who finishes their degree earlier in the semester does not have a gap between student status and employment.

B. Procedures for Appointments, Promotions, Terminations, and Changes in Salary

All appointments, reappointments, and terminations of postdoctoral researchers will be recommended by the chair or director of the sponsoring department, institute, center, or program (as will changes in salary for Postdoctoral Research Associates) in accordance with procedures established by the Dean of the Faculty. Such recommendations are submitted to the Dean of the Faculty for approval.

Except in rare and unusual circumstances, all recommendations for reappointments,

promotions, and changes in salary should be submitted at least one month prior to the end of the current appointment term. Topics of review prior to making a recommendation include responsibilities, performance, and research contributions. Each postdoctoral researcher should receive an annual written appraisal of their performance from their supervisor. Each staff member is entitled to an appraisal which reflects the evaluation that is submitted to the Office of the Dean of the Faculty.

When a Postdoctoral Research Associate has reached the end of their eligibility to remain at that rank, they may be advanced to the rank of Associate Research Scholar.

Under certain circumstances, postdoctoral researchers may be allowed to combine teaching with their research duties; this time is limited to 50% duty time as the primary responsibility of a postdoctoral researcher is research. If approved, they are given the additional title of Lecturer upon the recommendation of the department chair and approval of the Dean of the Faculty for the semester(s) during which they have teaching assignment(s).

Chapter V: Visiting Researchers and Specialists

A. Responsibilities

The University will extend its hospitality to visitors who wish to spend a limited time in person at Princeton for the purpose of study, scholarship, and research. Their stature, credentials, and reasons for visiting will determine their rank when visiting. The purpose of these visiting appointments is to foster in-person collaboration and contribute to research on campus.

Departments wishing to invite individuals who are not eligible for the below DOF visiting ranks may wish to consider one of the following arrangements:

- Collaborators whose activities will be fully remote may be considered for a Departmental Computing User (DCU) account through OIT.
- Visitors who will be on campus regularly but whose activities are not expected to result in joint publications or research proposals may be considered for Departmental Guest status. Please consult the TigerCard Office for more information:

<https://tigercard.princeton.edu/other-cardsservices/departmental-guests>

B. Ranks and Terms of Appointment

5. Visiting Research Scholar

The title of Visiting Research Scholar is appropriate for scholars who hold faculty or professional research positions at other institutions or are established independent scholars and who will be associated with a research project at the University, normally with salary, for a limited period of time. All visitors must provide confirmation of employment and salary which meets the Office of the Dean of the Faculty's minimum requirement. If a visitor's home institution salary is below the minimum requirement, the hosting academic unit may supplement up to the minimum for all ranks except Visiting Research Collaborator.

Term of Appointment - Appointments to the Visiting Research Scholar rank are normally made for periods of up to one year. Visiting Research Scholars may be reappointed so long as the total term does not exceed three years, except by permission from the Dean of the Faculty.

6. Visiting Fellow

The title of Visiting Fellow is appropriate for faculty members visiting Princeton's campus from other academic institutions and for established, independent scholars. They are considered professional colleagues of the Princeton faculty. Facilities and resources may be provided for them by the sponsoring department. Visiting Fellows have no specific responsibilities in either teaching or research and normally do not receive stipends or salaries from the University.

Term of Appointment - Appointments to the Visiting Fellow rank are normally for one semester or up to one year. Visiting Fellows may be reappointed so long as the total term does not exceed two years, except by permission from the Dean of the Faculty.

7. Visiting Research Collaborator

When activity on a specific research enterprise requires frequent short-term visits to the campus by an outside scholar or researcher who is contributing to research on campus, the department may request an appointment to the rank of Visiting Research Collaborator. This courtesy appointment is for individuals from other institutions who are directly associated with the research or scholarship of a center, consortium, or individual research project and whose visits are expected to result in joint publications or research proposals with University faculty members or researchers; when the anticipated stays on campus would normally be for less than one month on each occasion; and when no remuneration is provided. Visiting Research Collaborators are not benefits-eligible but will have access to University facilities.

Term of Appointment - Appointments to the Visiting Research Collaborator rank are normally made for periods up to one year. Visiting Research Collaborators may be reappointed if the collaboration continues. Note that Visiting Research Collaborators cannot be paid by the University.

8. Visiting Professional Specialist

Individuals who hold positions at other institutions, in industry, or in independent professional fields of endeavor and who visit the University to work for limited periods, either with or without salary, in positions appropriate for professional specialists are appointed to the Visiting Professional Specialist rank.

Term of Appointment - Appointments to the Visiting Professional Specialist rank are normally made for a period of up to one year. Visiting Professional Specialists may be reappointed so long as the total term does not exceed three years, except by permission from the Dean of the Faculty.

9. Visiting Postdoctoral Research Associate

Individuals who hold positions equivalent to the rank of Postdoctoral Research Associate at other institutions and who will be associated (typically because they are involved in joint Princeton University – home institution research projects) with a project at the University or who are supported by grants and/or fellowships sponsored and/or administered by another institution, are appointed to the rank of Visiting Postdoctoral Research Associate.

Term of Appointment - Appointments to the Visiting Postdoctoral Research Associate rank are normally made for periods of up to one year. Visiting Postdoctoral Research Associates may be reappointed so long as the total term of appointments does not exceed five years.

Chapter VI: Voluntary and Involuntary Termination

A. Retirement

Retirement from the University is a voluntary termination. An individual at a professional researcher or professional specialist rank who wishes to discuss retirement should consult with their supervisor, the chair or director of the appropriate unit, and the Office of the Dean of the Faculty. The individual should also consult with the Office of Human Resources for information on the status of their benefits upon retirement.

B. Resignation

Employees are expected to give at least four weeks of notice in writing. Staff members who terminate employment with the University and who have earned vacation which has not yet been taken will receive pay in lieu of vacation up to a maximum of 30 days unless they are supported on term funding. Individuals who leave without giving appropriate notice may forfeit this pay.

C. Policy Concerning Notice of Termination

The University's policy is to provide notice and not severance pay for terminated employees. In the unusual instances where it is not possible to provide the required notice, pay in lieu of notice will be provided at the individual's base salary rate for the amount of time by which the actual notice period falls short of the required notice period. Time spent on temporary disability (or such benefits received) may count towards satisfaction of this obligation.

Except in the event of dismissal for cause, individuals in the professional researcher and professional specialist ranks whose appointments include a specific termination date will, unless reappointed, terminate at the specified date without further notice or severance pay.

Except in the event of dismissal for cause, a professional researcher or professional specialist whose appointment does not include a specific termination date will be entitled to notice of termination of appointment of at least the following duration:

Rank	Years of University Service	Notice Period
Senior Research Scholar	N/A	One year
Research Scholar	N/A	Six months
Associate Research Scholar	1 st year 2 nd or 3 rd year 4 th or 5 th year 6 th or 7 th year 8 th or 9 th year 10 th year or more	One month Two months Three months Four months Five months Six months
Senior Professional Specialist	N/A	Six months
Professional Specialist	N/A	Six months
Associate Professional Specialist	Less than one One or two	One month Two months

	Three or four Five or six Seven or eight Nine or more	Three months Four months Five months Six months
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The same notice period will apply for reductions in duty time or other changes that substantially affect the conditions of employment. Individuals dismissed for cause are entitled to neither notice nor severance pay.

D. Grounds for Termination and Other Disciplinary Action

Any professional researcher, professional specialist, or postdoctoral researcher may be terminated prior to the expiration of their term of appointment or subjected to other disciplinary action for cause, which consists of (a) continuing unsatisfactory performance after due notice; or (b) conduct which is shown to violate the University rules and procedures applicable to individuals at these ranks, or substantially to impair the individual's performance of their responsibilities.

Chapter VII: General Rules and Policies

A. Part-Time Employees

The rules, procedures, and other arrangements described in this publication apply in various ways to part-time employees. Those contemplating part-time employment should consult with department heads, project heads, and the Dean of the Faculty for specific questions of concern. In general:

1. All part-time professional researchers and professional specialist employees are subject to the definitions and provisions of Chapters II, III, IV, and V.
2. All part-time employees have the benefit of the service arrangements described in the present chapter, provided that they work 50% or more of the normal work week schedule and 4.5 months or more of the year, and receive pay directly from the university.
3. Individuals with part-time positions should consult with the Office of Human Resources regarding benefits.

B. Vacation, Leaves, and Other Absences

A professional researcher or professional specialist wishing to be absent from the campus for a period of time during their normal duty period should discuss well in advance with their department chair or immediate supervisor the need for the absence and possible arrangements to fulfill the member's responsibilities. Following such a conversation, except in cases utilizing vacation days, the department chair or program or project leader should write to the Dean of the Faculty, explaining the circumstances and requesting approval for the proposed absence. Benefits-eligible staff members who work 50% or more of the normal work week schedule and 4.5 months or more of the year, receive pay directly from the university, and who have completed a minimum of one year of service, are eligible for leaves of absence (with the exception of PDRFs and visiting researchers and specialists).

Vacation - Vacation is paid time away from the workplace that is provided for the health and well-being of employees. Supervisors should make every effort to accommodate the preference of the employee. However, the University has the right to require individuals to take vacation at specified times for work schedules or budgetary reasons. Professional researchers and specialists earn vacation at a rate of two work days for each month of service, resulting in 24 vacation days during each year of service. Part-time staff members accrue vacation at a rate that is prorated according to their work schedules. Up to 48 days may be accrued. Scheduling of vacation time is dependent on approval of the department chair or supervisor, and recording the time is managed through the Human Resources self-service website.

Jury Duty and Court Appearance - Individuals called for Jury Duty or subpoenaed as witnesses will continue to receive normal pay. It is expected they will be available for work when their presence at court is not required.

Military Reserve Training - Please refer to the Military Reserve Training policy at <https://hr.princeton.edu/myhr/policies/military-reserve-training>.

Temporary Disability - A temporary disability leave is a leave for a maximum of twenty-six weeks because of accident, illness, or injury that is not job related. All regular full-time non-exempt employees are eligible for comparable re-employment upon returning within 26 weeks from a temporary disability. Supervisors should make every effort to hold positions open and available to temporarily disabled employees. If the disability extends beyond 26 weeks, re-employment eligibility is lost.

Long-Term Disability - Please refer to the Long-Term Disability policy at <https://hr.princeton.edu/thrive/wellness-resources/long-term-disability-plan>.

Workers' Compensation - Workers' compensation provides paid leave for eligible employees because of injury or illness due to, or arising out of, the individual's employment. Please refer to the Workers' Compensation policy at <https://hr.princeton.edu/thrive/health/workers-compensation>.

Parental Leave - Please refer to the Paid Family Leave policy at <https://hr.princeton.edu/thrive/wellness-resources/paid-family-leave>.

Military Leave (extended service) - Please refer to the Military Leave Policy at <https://hr.princeton.edu/myhr/policies/military-leave-extended-service>.

Leave for Religious Observances - Individual employees may have religious needs which, according to both federal and state laws, must be reasonably accommodated by an employer. "Reasonable accommodation" means such accommodation to the employee's needs "as shall not cause undue hardship in the conduct of the employer's business." An employee may elect to charge such absences for religious observances to vacation or personal days.

Leaves for Research and Scholarship and Detached Service Agreements - Professional researchers or professional specialists who have regular appointments of at least 50% duty time with at least one year of service may be eligible for research leaves or detached service agreements. Under certain circumstances, professional researchers or professional specialists and the University can mutually benefit from these staff members' being relieved of regular responsibilities--for example, to enable them to pursue new or unusual projects or to bring together the accomplishments of several related programs. Such activities, like projects regularly carried out by members of the staff, should normally be funded from grants, contracts, or fellowships. In those instances where leaves for research are approved and external support is not available, paid leaves for members of these staff may be granted for up to six months at full salary or up to 12 months at half salary.

Professional researchers or professional specialists may be assigned to projects at laboratories

not affiliated with the University. Detached service assignments are not leaves with pay. Salaries to staff members on detached service will be charged to projects at the University in proportion to the time spent for the benefit of those projects during the staff members' periods of detached service. The balance of the staff members' salaries, if any, should be paid by the host institution or by other sources external to the University. The periods of detached service assignments vary and depend on the requirements of the projects involved. All arrangements for detached service are subject to the approval of the relevant sponsoring agencies and should be made only after consultation with the Office of Research and Project Administration as well as the Office of the Dean of the Faculty.

C. Outside Professional Activities

Occasionally, a researcher or specialist may have opportunities to engage in professional activities outside the University. Such activities may be permitted if the academic professional adheres to the following principles:

1. The primary obligation of the professional researchers and professional specialists is to carry out that part of the program at Princeton for which they are responsible. Their obligation is not merely to work during particular hours on particular days, but is professional in character. No other work activity, whether gainful or not, which conflicts with this obligation may be undertaken.
2. Time devoted to outside professional activities, including teaching courses at other universities, may not exceed two days per month without prior approval of the immediate supervisor (in the case of postdocs) or department chair (in the case of other researchers) and the Office of the Dean of the Faculty. The duty terms for part-time service may be obtained from the Office of the Dean of the Faculty.
3. The term "outside" refers to professional activities not directly associated with the fulfillment of an individual's teaching, research, and administrative commitments to the University. Such activities generally bring into play the expertise of the individual and often bring professional benefits to the individual and the University. They may or may not involve compensation. Before undertaking such activities, individuals should satisfy themselves that the activities contribute: (a) to teaching and scholarship at Princeton, (b) to communicating and applying special knowledge outside the University, and/or (c) to furthering the common good.
4. In outside professional activities, whether compensated or not, an individual shall not: (a) violate the University's patent policy, (b) permit an outside agent to have a preferred position with respect to information emanating from University activities, and/or (c) negotiate or influence the negotiation of contracts between the University and organizations with which they have consulting or other significant relationships.
5. In outside activities, whether professional in nature or not, an individual shall not commit University materials, facilities, students, or personnel for the gain or benefit of an outside enterprise. However, limited use may be made of materials, facilities, and secretarial assistance for service to professional societies in the individual's discipline and in connection with nonpartisan public service. The chair of the department and the Dean of the Faculty shall be kept informed of such activities. Questions arising out

of special circumstances shall be reviewed by the Dean of the Faculty.

6. In outside professional activities, an individual member shall take care not to affect adversely the individual's own independence or the integrity of the University. For example, an individual may not accept a regular and continuing position with significant responsibility for the management of an outside enterprise. Also, an individual may not become a regular and continuing employee of any outside organization, either part-time or full-time, or accept any outside position that would tend to create conflicts of interest with the position in the University. Any request for an exception to this policy must be approved by the immediate supervisor and the Dean of the Faculty. Exceptions are rarely granted and only in the most unusual circumstances.
7. An individual shall inform the University annually, in writing, of all outside professional activities as part of the regular report on conflicts of interest. An individual shall also consult with the chair whenever considering significant new outside professional activities. The chair shall consult with the Dean of the Faculty concerning any exceptions to these rules and forward for consideration any special circumstances that may arise.
8. Only the Dean of the Faculty may approve exceptions to, or exemptions from, these rules concerning outside professional activities.

D. Health and Safety

University safety policy is the responsibility of the Environmental, Safety, and Risk Management Committee, appointed by the executive vice president. The University undertakes to provide a safe and healthful working environment for all its employees. Further, the University complies with all governmental regulatory safety requirements and with accepted safety and health standards.

Professional researchers and professional specialists are, as are other employees, responsible for observing the health and safety policies in the area where they are working and are subject to disciplinary action in cases of non-compliance. Professional staff members are also, in conjunction with the Office of Environmental Health and Safety, responsible for the development and maintenance of appropriate health and safety regulations in their areas of principal responsibility. The procedure for reporting injuries, unless the injury is unquestionably trivial, is as follows:

1. When immediate, emergency medical attention is necessary, contact Public Safety at 911.
2. Employees must report for evaluation, treatment, consultation, and/or referral to an approved physician for all work-related injuries.
3. If an individual calls from home to report a work-related injury or illness, their supervisor must inform them to contact [Occupational Health Services](#).
4. Time away from the workplace for a work-related injury or illness must be authorized by Occupational Health Services.
5. Occupational Health Services also provides the required return-to-work clearance for individuals who have been away from work for more than eight days due to any injury or illness.

E. Consensual Relations with Students

A sexual or romantic relationship between a member of the professional researcher or professional specialist ranks and a student for whom they have professional responsibility raises concerns such as conflict of interest, abuse of authority, and unfair treatment. Conflict of interest is present when an employee's personal interest interferes with or alters, or reasonably appears to interfere with or alter, an employee's objectivity, professional judgment, and/or decision-making in connection with any work responsibilities or work on behalf of the University. These concerns exist even where the relationship is considered consensual by both participants. Moreover, consensual relationships involving individuals of different University status have the potential to have an adverse impact on others in the University community. As members of a community characterized by multiple formal and informal hierarchies, it is incumbent on members of the professional researcher and specialist ranks not to abuse, nor to appear to abuse, the authority with which they are entrusted. To address these issues, the University has adopted the following rules:

1. Prohibition of Consensual Relations with Undergraduate Students

Princeton University prohibits romantic or sexual relationships between an academic professional and a graduate student when a supervisory or other supporting academic or administrative relationship exists. Such a relationship could interfere with or alter, or reasonably appear to interfere with or alter, an employee's objectivity, professional judgment, and/or decision-making in connection with any work responsibilities on behalf of the University.

Members of the professional researcher and specialist ranks shall not initiate or engage in romantic or sexual behavior with undergraduate students. This prohibition encompasses both enrolled and prospective students, and includes students from other institutions who come to Princeton for pre-baccalaureate, post-baccalaureate, visiting, summer, or other programs or courses of study.

2. Prohibition of Consensual Relations with Individuals under One's Supervision

No member of the professional researcher and specialist ranks shall initiate or engage in any romantic or sexual behavior with any person who is subject to that individual's supervision or evaluation.

3. Relationships and Conflicts of Interest

Members of the professional researcher and specialist ranks shall not initiate or engage in any romantic or sexual behavior or relationship with any other member of the University community, regardless of the other person's status, if the conduct would create an actual conflict of interest. In instances involving an actual, apparent, or potential conflict of interest, the parties must promptly disclose their romantic or sexual relationship to their supervisor.

4. Preexisting Relationships

Except when such relationships create an actual conflict of interest, this policy does not

prohibit relationships between a member of the professional researcher and specialist ranks and another member of the University community that pre-date the adoption of this policy, the affiliation of either party with the University, or the role at the University which causes the conflict. The policy was adopted on October 1, 2022. In all cases involving relationships that pre-date one party's affiliation with the University, both parties to the relationship must disclose it promptly, in order to enable the University to take steps to prevent conflicts of interest. Relationships which pre-date either this policy or the role at the University which causes the conflict must also be disclosed promptly to the parties' respective supervisors.

F. Misconduct in Research

The University is committed to high ethical and scholarly standards in the substance, conduct, and reporting of research. Safeguards on both fronts are embodied in the best traditions of disinterested scholarly inquiry, including skepticism, independent cross checks, and a sense of personal responsibility. These traditions presuppose that one's colleagues are honorable, even if occasionally mistaken: room has to be left open for intellectual risk-taking and honest error. However, any serious indication of research misconduct calls for systematic institutional response. Members of the Princeton community have a duty to foster a climate that encourages ethical conduct of scholarly research. They also have a responsibility to report if ever they encounter serious indications of misconduct in research. Reporting such concerns in good faith is a service to the University and to the larger academic community. The University is committed to maintaining an environment that enables and encourages such service. The University prohibits retaliation of any kind against a person who, acting in good faith, reports or provides information about suspected or alleged misconduct in research.

“Misconduct in research”, as understood here, includes, but is not limited to, fabrication or falsification of data, plagiarism, interference with the integrity of the work of others, misappropriation of the ideas of others, or misrepresentation in the proposing, conducting, or reporting of research. The procedures adopted for dealing with possible incidents of misconduct must be sensitive to the personal reputations and careers of the person bringing the allegation of misconduct, of the person against whom the allegation is directed, and of others caught up in the events. Confidentiality in the proceedings has to be respected throughout, to the maximum extent possible. Procedures must be expeditious and fair. It is important that a written record be kept covering all phases of the proceedings. These records will be kept for at least seven years. Members of the inquiry committees and investigative panels must be selected with a care for their impartiality and personal distance from the principals. Princeton University will comply with the requirements of all relevant federal regulations throughout, and if applicable, should there be a conflict between these general procedures and the regulations, the regulations shall govern.

1. The responsibility for pursuing allegations of misconduct in research rests with the Dean of the Faculty. If a graduate student is involved as one of the principals, the Dean of the Faculty will consult throughout with the Dean of the Graduate School. If the Dean of the Faculty has a conflict, the responsibility shall fall upon the Provost or another academic officer designated by the President.

2. Any allegations of misconduct in research should be communicated by written or oral statement. The person raising the allegations (the “claimant”) is expected to be available early on for confidential communications with the Dean of the Faculty, or his or her designee. The aim in this is to determine whether the case falls within the definition of “misconduct in research” and whether the allegations are sufficiently credible and specific so that potential evidence of research misconduct may be identified. The Dean will make every effort to assess the claims fully and fairly even in cases where the claimant chooses to remain anonymous, for example, by presenting the allegations via the University’s hotline (<https://oac.princeton.edu/compliance/hotline>). In some such cases, however, the Dean may decide that it is not possible to make an appropriate assessment of the matter. If the allegations meet the assessment criteria above, the Dean will soon thereafter form an ad-hoc committee to carry out a preliminary inquiry and to issue a confidential written report recommending to the Dean whether or not a formal investigation is warranted. The preliminary inquiry formally commences with the initial meeting of the inquiry committee.

3. At the time of or before beginning an inquiry, the person against whom the allegations are raised (the “respondent”) must be provided by the Dean with a written statement laying out the charges in full, evidence, membership of the inquiry committee, and, with permission of the claimant, the identity of the claimant. On or before the date on which the respondent is notified of the inquiry, the Dean will determine what reasonable and practical steps should be taken to protect the research records and evidence needed to conduct the proceedings. Before the conclusion of the preliminary inquiry, the respondent will be provided a confidential draft copy of the inquiry report and an opportunity to comment. Any comments are expected to be submitted within seven days of the respondent’s receipt of the draft report, and such comments will become a part of the record and will be considered in deciding whether to proceed to a formal investigation. The preliminary inquiry, which shall conclude within 60 days unless an extension is warranted and documented, shall end upon issuance of the Dean’s decision. If the Dean determines that a formal investigation is not warranted, the matter shall be closed and final.

4. If the Dean believes that his or her findings warrant a formal investigation and, in the case of an anonymous complaint, are capable of being formally investigated despite the anonymity of the complainant, the Dean will form an appropriate investigative panel and inform the respondent as to its membership within 30 days. The panel must include two members of the standing University Research Board, one of whom will normally serve as Chair of the panel. It may include members from outside the University community, and the panel may consult with outside experts. If government-sponsored research is involved, the University will inform the appropriate agencies in as confidential manner as possible on or before the date the investigation begins. If, during the course of the proceedings, the University learns that the alleged research misconduct poses a threat to public health, federal funds or equipment, or the integrity of the government-supported research process, the University shall (i) notify the applicable federal sponsor(s) immediately, and (ii) promptly take appropriate action to protect against the perceived threat(s).

5. Unless there are extenuating circumstances requiring a longer process, the investigative panel will be expected to come to a conclusion and report its findings to the Dean, in a confidential draft report, in no more than 60 days from the initial meeting of the investigative panel. The confidential draft report of the investigative panel will be made available to the respondent. Any comments on the report by the respondent are expected to be submitted within 30 days of the respondent's receipt of the draft report and will be considered by the panel in preparing its final report. The comments of the respondent shall be appended to the final report and considered by the Dean before the final decision is made. It is expected that all aspects of the investigation will be completed within 120 days of the panel's initial meeting.

6. If the allegations of misconduct are not sustained, the case must be dropped, and nothing of it may appear in the personnel record of the respondent or claimant. The claimant may be advised by the Dean that the matter is concluded and final, and the allegations not sustained. The Dean should take reasonable steps, if requested and as appropriate, to protect or restore the reputation of persons alleged to have engaged in research misconduct but against whom no finding of research misconduct is made.

7. If the respondent acknowledges misconduct, or if the Dean accepts a finding of misconduct by the investigative panel, the conclusions and disciplinary recommendations of the Dean will be implemented or forwarded to the President for decisions and implementation, subject to standard University grievance protections. If misconduct has occurred, the University must make every reasonable effort to reach and inform journal editors, research collaborators and other parties affected by the misconduct and, in the case of sponsored research, the sponsoring organizations. The claimant may be advised by the Dean that the matter is concluded and final, misconduct in research was found to have occurred, and appropriate responsive steps have been or are being taken by the University. The Dean should take reasonable and practical efforts to protect or restore the position and reputation of any complainant, witness, or committee member and to counter potential or actual retaliation against them.

8. The University will cooperate, to the extent required by law or term of award, with the appropriate federal sponsor during its oversight review or any subsequent administrative proceedings.

G. Patents and Publications

Individuals will be appointed for work on a particular project subject to their acceptance of the patent and publication provisions of the contract or grant which covers the project. Except as modified by those provisions, they shall be subject to the University's [patent and publication policies](#).

H. Appeal Procedure for Academic Professionals (Appealing Disciplinary Action Imposed by Supervisor)

These appeal procedures for disciplinary action apply to all professional librarians,

professional researchers, and professional specialists.²

Only the following disciplinary actions may be appealed:

- Unpaid suspension
- Suspension or termination of employment for poor performance
- Suspension or termination of employment for failure to comply with University policy (misconduct or cause)

(These are referred to collectively as “Appealable Disciplinary Action”).

Other disciplinary actions may not be appealed.

Procedures involving allegations of sexual harassment are addressed in separate policy and procedure: [Addressing Concerns | Inclusive Princeton](#)

Appeal Procedure

The deadline for filing an appeal is ten working days from the date the academic professional is notified of the Appealable Disciplinary Action. The Appealable Disciplinary Action will remain in effect unless/until modified by the appropriate University authority. To file an appeal, the academic professional must send a written request to the Associate Dean for Academic Affairs in the Office of the Dean of the Faculty, specifying the grounds for appeal.

Grounds for Appeal: The academic professional may file a written appeal on one or more of the following grounds: (1) there is substantial relevant information that was not presented, and reasonably could not have been presented, earlier in the process; (2) the imposed penalty does not fall within the range of penalties imposed for similar misconduct; and (3) there was procedural unfairness during the course of the disciplinary process.

The appealing party may seek the assistance of a member of the University community to serve as an adviser during the appeal process. This adviser may not serve as legal counsel.

Within fifteen working days of receipt of the appeal request, the Office of the Dean of the Faculty will assemble a three-member Appeal Committee from the voting members of the Library Promotion, Continuing Appointment, and Review Committee (PCARC) and/or the Committee on Appointments and Advancements for Professional Researchers and Specialists (C/7). Faculty members serving on the C/7 are excluded from serving on an Appeal

²These procedures apply to the following ranks: Associate Research Scholar, Research Scholar, Senior Research Scholar, Associate Librarian, Librarian, Librarian III, Senior Librarian, Associate Professional Specialist, Professional Specialist, Senior Professional Specialist, Postdoctoral Research Associate, Senior Research Assistant, Postgraduate Research Associate, as well as any rank not specified below.

These procedures do not apply to the following ranks: Professor, Associate Professor, Assistant Professor, University Lecturers, Professors of the Practice, Senior Lecturers, Lecturers, Instructors, Lecturers with the Rank of Professor, and Lecturers with the Rank of Associate Professor.

Committee.

The Associate Dean of the Faculty is responsible for notifying the Respondent, and others who have directly participated in the case, of the appeal.

Appeal Committee meetings are confidential. The Appeal Committee will meet privately to deliberate and make its decision. The Governance Administrator from the Office of the Dean of the Faculty will convene the first meeting of the Appeal Committee and will attend the Appeal Committee meetings as a resource to the committee, but not as a voting member. Recording of these meetings is not permitted.

The Appeal Committee is advisory to the Dean of the Faculty; the Dean of the Faculty makes the final decision regarding the appeal.

The Appeal Committee will:

1. Read the appeal documents to determine whether they identify one or more of the grounds for appeal outlined above. (If the Appeal Committee determines that the appeal documents do not meet the grounds for appeal or are in any other way deficient, it will notify the appealing party in writing and give that party three business days following the notification to address those deficiencies and resubmit the appeal documents.)
2. If the submission meets the grounds for appeal, meet with the appealing party, upon request.
3. Meet with the supervisor and other individuals, as it deems necessary.
4. Review the matter and issue a written recommendation to the Dean of the Faculty, ordinarily no more than two weeks following the meeting with the employee. The panel will prepare a written recommendation report, which will be presented to the appealing party and the respondent. This report will include:
 - a. A brief chronology of the proceedings from the receipt of the appeal through the issuance of its recommendation;
 - b. An explanation of its recommendation, citing the information relied upon in reaching its recommendation;
 - c. Any other information it deems pertinent;
 - d. A recommendation regarding the employment action.

The Dean of the Faculty will review the Appeal Committee's recommendation regarding the Appealable Disciplinary Action. The Dean's final decision will be binding; no further appeal is available under this policy.

Appendix: The Council of the Princeton University Community

The Council of the Princeton University Community has authority to:

- consider and investigate any question of University policy, any aspect of the governing of the University, and any general issue related to the welfare of the University; and to make recommendations regarding any such matters to the appropriate decision-making bodies of the University or to the appropriate officers of the University;
- make rules regarding the conduct of resident members of the University community, which rules shall be binding on them; but the Council may delegate authority to make rules, and with respect to matters mainly of concern to a particular group within the University community, the authority to make rules shall normally be delegated to a body representing that group or shall be exercised in a manner otherwise acceptable to the members of that group;
- oversee the making and applying of rules regarding the conduct of resident members of the University community, whether such rules shall have been made by other bodies within the resident University community, or by the Council itself, or by officers of the University; such oversight shall be exercised for the purpose of insuring that such rules protect the rights of individuals and the legitimate interests of the University, and that they are clear in meaning, fair, enforceable, and in conformity with the law;
- adopt such bylaws and rules of procedure as are necessary or convenient for the exercise of its authority.

The membership of the Council includes one member representing the research, specialist, and Library staff. The Council carries out its mandate through [standing committees](#) which include council members and other members of the University Community. Members of the professional research and professional specialist ranks are often called upon to serve on these committees.