

University of Dayton Research Institute Policies and Procedures for Sponsored Programs	Memo No. 12	Rev. 10
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Title: COMPENSATION POLICIES AND PROCEDURES FOR RESEARCH EMPLOYEES		

I. OBJECTIVES

The employee classifications and titles for personnel engaged in sponsored research have been developed to achieve the following objectives.

- A. To classify positions and assign them to specific categories.
- B. To standardize position titles.

II. POSITION CLASSIFICATIONS AND TITLES

There are four position classifications for Research Institute employees. Three are outlined in this document: Professional, Administrative, and Technical. The non-exempt Administrative Support Staff position classification for the entire University is explained in a separate document entitled, *Position Classification Guide for Administrative Support Staff*, dated May 2000 (http://www.udayton.edu/~hr/hayclass/hay_gradesbook.htm).

Note that some categories within these classifications may include formal supervisory roles: Team Leader, Group Leader, or Division Head. Descriptions for these supervisory roles are provided in Section III.

Recommended titles, together with the qualifications required for appointment or promotion to each classification, are outlined in this document. In the interest of good employee relations and standardization of staffing, the titles listed in this document should be followed except in those appointments where a different title would more accurately reflect the individual's duties and responsibilities.

Any exceptions to the classifications and qualifications as stated in this policy must be approved by the Office of Human Resources and the Director, Research Institute.

A. Categories for Professional Employees

Six distinct categories have been established under the Professional classification: one for professional technologists and five for professional research employees. For administrative purposes, these categories have been designated in an abbreviated manner as PT for the professional technologist, PD for postdoctoral researcher, and P1, P2, P3, and P4 for the four professional categories. The duties and responsibilities that distinguish each category are not intended to limit the expected level of performance. The duties and responsibilities of a given category include those expected of the lower categories.

To reward researchers in nonsupervisory positions for their technical accomplishments and to recognize the value of these research contributions, a dual-ladder system (a technical ladder and a management ladder) has been established for appointment and promotion to the P3 and P4 categories. The minimum qualifications required for appointment and promotion under the dual-ladder system are prescribed for each category.

The professional technologist (PT) category is closed to all employees for future appointment or promotion.

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The responsibilities and duties prescribed for all professional categories are at a sufficiently high level so as to meet or exceed the requirements for "exempt status" under the Fair Labor Standards Act of 1938.

1. Professional Technologist Category PT

TITLE: Specialist or Appropriate Supervisory Title

a. Distinguishing Characteristics

Employees in this category must have demonstrated a sustained and consistent independent effort and have assumed substantial responsibility for major activities or large portions of a research program. High school graduation or its equivalent, along with 15 years of related technical experience at the University of Dayton, is required for entrance into this category. Must be able to function as a researcher who can independently identify program objectives, obtain funding, analyze results, form conclusions, and publish/present results in journals and at conferences. Positions may be supervisory, technical, or a combination thereof. Supervisors in this category must have demonstrated the ability to lead and manage technical projects.

b. Scope and Level of Duties and Responsibilities (one or both of the following)

Supervisory: Performs all supervisory functions required for the effective management of major activities or large portions of a research program. These functions include scheduling, planning, organizing tasks and resources, and assessing and reporting results.

Technical Specialist: Independently plans and directs the progress of a research effort or serves as a technical expert in a specialized aspect of a particular field. Complexity of assignments typically requires considerable creativity and judgment to devise approaches to accomplish work, resolve design and operational problems, and make decisions in situations where standard technical methods, procedures, and techniques may not be applicable. Also monitors costs and technical progress and functions as technical liaison with research sponsors and other staff members.

c. Direction Received

Employees in this category are expected to work independently and demonstrate a high degree of initiative and resourcefulness in the performance of their duties.

d. Responsibility for Direction of Others

Depending upon the position, may be responsible for supervising, directing, and/or training entry-level professionals, technicians, and/or student employees.

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2. Professional Research Category PD

TITLES: Postdoctoral Researcher (by discipline)

a. Distinguishing Characteristics

This is a category for professionals who have a minimum of a doctoral degree in a relevant discipline and seek to enhance future career prospects through research and development in a specific technical area. The doctoral degree shall have been attained not more than five years prior to the start of employment in this category. Employees in this category are expected to apply their academic training to assignments under the guidance of senior-level professionals. An individual shall not remain in this position for more than two years.

b. Scope and Level of Duties and Responsibilities

Conducts professional-level assignments that require the use of fundamental concepts, practices, and procedures of discipline or specialty. Prepares plans for and conducts experiments, design, and/or analysis efforts. Specifies apparatus to be used and procured for experiments. Performs data acquisition, analysis, and interpretation. Organizes experimental and/or technical results, prepares reports, publishes technical journal articles, and makes technical presentations at conferences and symposia. Trains and/or supervises hands-on training of student assistants, graduate students, technicians, and entry-level professionals. Implements safety and security procedures.

c. Direction Received

Performs the majority of duties independently. Receives technical guidance on unusual or complex problems and supervisory approval on proposed plans and projects. Demonstrates initiative, resourcefulness, and ingenuity in performing assigned duties.

d. Responsibility for the Direction of Others

May be responsible for the supervision and training of less-experienced employees as well as students.

3. Professional Research Category P1

TITLES: Associate Research (by discipline)

a. Distinguishing Characteristics

Requirement of a degree, ranging from Bachelors to PhD, in a relevant discipline will be determined based on the level and technical specialty of the position. Based upon the recommendation of the appropriate division head and the approval of the Director, Research Institute and the Office of Human Resources, the educational requirement for appointment or promotion to this category may be waived for an individual who possesses substantial demonstrated experience and performance at this level.

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Employees in this category are expected to apply their academic training to assignments under the guidance of senior-level professionals.

b. Scope and Level of Duties and Responsibilities

Assists other researchers in performing professional-level assignments that require the use of the fundamental concepts, practices, and procedures of discipline. Assists in planning and conducting experiments, design, and/or analysis efforts. Constructs, operates, and maintains apparatus used in experiments. Assists and performs data acquisition, analysis, and interpretation. Assists in various stages of report preparation. Supports overall marketing efforts. Trains student assistants in the operation of apparatus used for experiments. Reviews and follows applicable safety and security procedures. Recommends travel and expenditures.

c. Direction Received

Supervisors or more senior-level professionals screen assignments for unusual or difficult problems, provide instructions and suggestions for their solution, and review work for thoroughness and accuracy.

Demonstrates initiative, displays creativity, and seeks assistance from others.

d. Responsibility for the Direction of Others

May direct the activities of student assistants or technicians.

4. Professional Research Category P2

TITLES: Research (by discipline) and, if appropriate, Supervisory Title (Team Leader, Group Leader)

a. Distinguishing Characteristics

Requirement of a degree, ranging from Bachelors to PhD, in a relevant discipline will be determined based on the level and technical specialty of the position. A minimum of three years of directly related experience is required. As a general rule, work experience gained during a Ph.D. program counts as a maximum of two years (at half time) of directly related work experience. Based upon the recommendation of the appropriate Division Head and the approval of the Director, Research Institute and the Office of Human Resources, the educational requirement for appointment or promotion to this category may be waived for an individual who possesses substantial demonstrated experience and performance at this level. Employees in this category are expected to demonstrate the ability to generate ideas, solve problems, and contribute to the preparation of technical documents, and may be expected to secure funds to support themselves.

b. Scope and Level of Duties and Responsibilities

Conducts professional-level assignments that require the use of fundamental concepts, practices, and procedures of discipline or specialty.

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Prepares plans for and conducts experiments, design, and/or analysis efforts. Specifies apparatus to be used and procured for experiments. Performs data acquisition, analysis, and interpretation. Trains other professionals and student assistants. Organizes experimental and/or technical results and prepares reports. Develops an awareness of technology and funding trends.

Contributes to proposal and other marketing efforts. Supervises hands-on training of students, technicians, and entry-level professionals. Implements safety and security procedures. Endorses travel and expenditures.

c. Direction Received

Performs the majority of duties independently. Receives technical guidance on unusual or complex problems and supervisory approval on proposed plans and projects. Demonstrates initiative, resourcefulness, and ingenuity in performing assigned duties.

d. Responsibility for the Direction of Others

May be responsible for the supervision and training of less-experienced employees. When qualified, supervision may be as a Team Leader or Group Leader; see descriptions in Section III.

5. Professional Research Category P3

TITLES: Senior Research (by discipline) and, if appropriate, Supervisory Title (Team Leader, Group Leader)

a. Distinguishing Characteristics

Requirement of a degree, ranging from Bachelors to PhD, in a relevant discipline will be determined based on the level and technical specialty of the position. A minimum of eight years of directly related experience is required. As a general rule, work experience gained during a Ph.D. program counts as a maximum of two years (at half time) of directly related work experience. Based upon the recommendation of the appropriate Division Head and the approval of the Director, Research Institute and the Office of Human Resources, the educational requirement for appointment or promotion to this category may be waived for an individual who possesses substantial demonstrated experience and performance at this level. Employees in this category must be capable of effectively applying comprehensive knowledge and skills in a sustained and consistent manner as principal members of a research group.

Positions may be supervisory, or a combination of supervisory and technical. Supervisory professionals must have demonstrated the ability to effectively manage a number of projects in a given technical area. Technical research professionals must function effectively as either principal investigators (PI) or research specialists. PIs must be capable of independently identifying appropriate research projects, obtaining support for such projects, and successfully conducting or providing technical

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leadership in the resultant investigations. Research specialists must possess a high level of expertise in a particular technical discipline.

- b. Scope and Level of Duties and Responsibilities (One or more of the following)

Supervisor: Leads a research operation with complex features by providing technical guidance of research that is initiated and conducted in the assigned group. Responsible for the successful fulfillment of all requirements of research contracts performed by the group. Ensures that experiments and/or analyses related to contract efforts are planned and executed. Guides the development of instrumentation, equipment, etc. and reviews design stages. Specifies work assignments for planned experimental, analytical, and technical efforts. Trains other professionals and student assistants. Reviews reports to ensure that administrative requirements have been fulfilled. Conducts marketing efforts to potential customers. Manages all stages of proposal efforts. Develops training plans for group members. Maintains Employee Qualification Matrix, if applicable. Ensures compliance and employee training to current safety and security procedures. Group Leader authorizes travel and expenditures for group members.

Technical: As PI, defines and conducts complex investigations that usually result in new knowledge, developments, processes, or scientific methods. Defines technical plans and design efforts. Identifies general type of apparatus, equipment, and instrumentation to be used in experiments and/or analysis. Reviews data gathered during projects to ensure that test or experimental plan has been followed. Reviews reports to ensure that technical requirements and data are accurate and logical. Writes technical portions of proposal and marketing efforts.

Research Specialist: Provides expert scientific or engineering services in a specialized field on one or more research programs. Provides expert consulting in planning technical efforts. Advises other researchers on experimental design and/or technical efforts. Contributes to and reviews reports that contain data relevant to area of specialization. Writes technical portions of proposal and marketing efforts in area of specialization.

- c. Direction Received

Receives direction and guidance only in terms of overall objectives and goals. Displays a high degree of initiative and leadership in performing duties and responsibilities.

- d. Responsibility for the Direction of Others

Supervisory: Responsible for supervising other professional research personnel (including principal investigators) and technicians, administrative support staff, and students. When qualified, supervision may be as a Team Leader or Group Leader; see descriptions in Section III.

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Technical: Expected to give technical direction and guidance to other professionals, technicians, administrative support staff, and graduate or undergraduate students.

6. Professional Research Category P4

TITLES: Distinguished Research (by discipline) or other appropriate title with approval by Division Head and Director of the Research Institute and, if appropriate, Supervisory Title (Team Leader, Group Leader, or Division Head)

a. Distinguishing Characteristics

Requirement of a degree, ranging from Bachelors to PhD, in a relevant discipline will be determined based on the level and technical specialty of the position. A minimum of twelve years of directly related experience is required. As a general rule, work experience gained during a Ph.D. program counts as a maximum of two years (at half time) of directly related work experience. Employees in this category must have demonstrated the capability to effectively apply comprehensive knowledge and skills in a sustained and consistent manner as a technical leader.

Positions may be supervisory, technical, or a combination of supervisory and technical. Supervisory professionals must have demonstrated, through outstanding performance on a management level over many years, effective leadership qualities and the ability to carry full responsibility for the successful management of a major research operation. Technical research personnel are PIs who have attained a national reputation through major advancements in their field and who have a successful history of obtaining sponsorship for their research.

b. Scope and Level of Duties and Responsibilities (One or both of the following)

Supervisor: Manages a large-scale research operation with many complex features by providing technical guidance and leadership of research that is initiated and conducted in the assigned group. Manages all aspects of research contracts performed in assigned group. Establishes overall training objectives for participants in an experimental effort or research program. Possesses signature approval for reports to verify that administrative requirements have been fulfilled. Acts as liaison with customer. Establishes marketing goals for group and oversees marketing efforts. Interacts with potential customers. Approves training plans and requests for group members. Reviews and approves Employee Qualification Matrix, if applicable. Recommends changes to safety and security procedures and associated training. Group Leader authorizes travel and expenditures for group members.

Technical: As PI, conceives and conducts complex investigations that usually result in new knowledge, developments, processes, or scientific methods. Approves technical plans prepared by other professionals. Approves purchases of apparatus, equipment, and instrumentation. Reviews technical plans and defines type of data to be acquired. Approves technical content of reports. Acts as liaison with customer. Presents invited

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papers at professional meetings and writes technical reports and refereed journal articles for publication.

c. Direction Received

Receives direction and guidance only in terms of overall objectives and goals. Displays a high degree of creativity, initiative, and leadership in performing duties and responsibilities.

d. Responsibility for the Direction of Others

Supervisor: Responsible for the supervision of other professional research employees (including subordinate supervisors or principal investigators), technicians, administrative support staff, and graduate or undergraduate students. When qualified, supervision may be as a Team Leader, Group Leader, or Division Head; see descriptions in Section III.

Technical: Expected to give technical direction and guidance to professionals, technicians, administrative support staff, and graduate or undergraduate students.

B. Classifications for Administrative Employees

Five distinct categories have been established for the classification of administrative employees. For administrative purposes, these categories have been designated as A1, A2, A3, A4, and A5.

The responsibilities and duties prescribed for all administrative positions are at a sufficiently high level so as to meet or exceed the requirements for “exempt status” under the Fair Labor Standards Act of 1938.

1. Administrative Research Category A1

TITLES: Administrative Associate or Analyst. Administrative Associate may be followed by the division/office (Administrative Associate, Metals and Ceramics, etc.); Analyst may be preceded by the function (Contracts Analyst, Financial Analyst, etc.), and if appropriate, Supervisory Title (Team Leader).

a. Distinguishing Characteristics

This is the entry-level category for those performing in the administrative classification. A bachelor’s degree or a minimum of four years of diverse, progressive administrative experience and training is required for entrance into this category. The incumbent or candidate is expected to have knowledge of basic principles and techniques in the area of expertise. Prior experience with the University of Dayton is highly desirable.

b. Scope and Level of Duties and Responsibilities

The primary duty of employees in this category consists of the performance of office or non-manual work directly related to the management of policies or general business operations of UDRI. Regularly and directly assists executive-level employees or principal investigators and performs

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work along specialized or technical lines requiring special training, experience, or knowledge. Work is often complex; employees customarily and regularly exercise discretion and independent judgment. Interfaces directly with research sponsors, other staff members, and the general public in matters of administrative specialty on a regular basis. Within a division, assignments may involve managing office/program processes, formulating procedures, analyzing and tracking financial or other data, and assisting PIs with the contractual documentation, reports, deliverables and billings.

c. **Direction Required**

Customarily and regularly exercises discretion and judgment in performing assigned duties. Expected to perform independently under only minimal supervision and direction.

d. **Responsibility for the Direction of Others**

May be responsible for supervising and training employees at lower level classifications, including student employees, within the assigned area. When qualified, supervision may be as a Team Leader; see description in Section III.

2. Administrative Research Category A2

TITLES: Assistant Administrator or Specialist. Assistant Administrator may be followed by the office or division (Assistant Administrator, Human Resources; Assistant Administrator, Nonmetallic Materials; etc.); Specialist may be preceded by the function (Subcontracts Specialist, Financial Specialist, Program Management Specialist), and, if appropriate, Supervisory Title (Team Leader)

a. **Distinguishing Characteristics**

A bachelor's degree plus a minimum of four years of experience is required for entrance into this category. The educational requirement for appointment or promotion to this category may be waived by the Director, Research Institute, for an individual who possesses substantial demonstrated experience and performance at this level. Employees in this category will be expected to demonstrate the ability to generate ideas, identify problems in the area of expertise, and effect solutions. Prior experience with the University of Dayton is highly desirable.

b. **Scope and Level of Duties and Responsibilities**

The primary duty of employees in this category consists of the performance of office or non-manual work directly related to the management policies or general business operations of UDRI. Regularly and directly assists executive-level employees or principal investigators under only minimal supervision and performs work along specialized or technical lines requiring special training, experience, or knowledge. Interfaces directly with research sponsors, other staff members, and the general public in matters of administrative specialty on a regular basis. Expected to develop standard administrative office/program procedures, develop simple practical solutions to complex problems, and plan and manage work in area of expertise. The employee is often provided latitude for unreviewed action

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or decision, thus requiring appreciable originality and ingenuity. Within a division, assignments may involve budget management of one or more large programs, assisting PIs with the formulation of statements of work, managing subcontractor reports and deliverables, and interfacing with research sponsors and subcontractors on issues requiring appreciable judgment, problem solving or decision making capabilities.

c. Direction Received

Customarily and regularly exercises discretion and judgment in performing assigned duties. Expected to perform independently under only minimal supervision and direction and demonstrate a high degree of initiative and resourcefulness in the performance of duties.

d. Responsibility for the Direction of Others

May be responsible for supervising and training employees at lower level classifications, including student employees, within the assigned area. When qualified, supervision may be as a Team Leader; see description in section III.

3. Administrative Research Category A3

TITLES: Administrator, preceded by the office (Contracts and Grants Administrator, etc.)

a. Distinguishing Characteristics

A bachelor's degree plus a minimum of eight years of experience is required for this category. The educational requirement for appointment or promotion to this category may be waived by the Director, Research Institute, for an individual who possesses substantial demonstrated experience and performance at this level. An MBA or other advanced degree is desirable. Employees at this level are responsible for managing an administrative office concerned with a specific function. Operates with appreciable latitude for unreviewed action or decision. Required to apply creativity, resourcefulness, and sound judgment to effect solutions to difficult problems in area of expertise.

b. Scope and Level of Duties and Responsibilities

The primary duty of employees in this category consists of the overall management of a specific administrative office. This includes responsibility for developing and implementing annual and long-range strategic and operating plans and the scheduling and staffing of the assigned office. May possess the authority to recommend the terms and conditions of employment of other employees within the assigned area, such as hiring, discipline, appraisal, rates of pay, and termination. Interfaces directly with research sponsors, other staff members, and the general public in matters related to administrative specialty on a regular basis. Expected to have thorough, up-to-date knowledge of the developments in the field and the ability to devise new approaches to solve difficult problems.

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c. Direction Received

Receives direction and guidance only in terms of overall objectives and goals and customarily and regularly exercises discretion. Expected to display a high degree of initiative, creativity, and leadership in performing duties and responsibilities.

d. Responsibility for the Direction of Others

Responsible for the overall supervision and direction of other administrative and clerical staff and customarily and regularly directs the work of other employees within assigned areas of responsibility.

4. Administrative Research Category A4

TITLES: Senior Administrator Examples of titles in this category are: Controller, Director of Technology Partnerships, Network Operations Manager or (Assistant) Director of Contracts and Grants

a. Distinguishing Characteristics

Performance in this category requires a bachelor's degree plus a minimum of 12 years related experience. An MBA or other equivalent degree is highly desirable. Employees at this level are responsible for the overall management of an administrative office(s) and operate with appreciable latitude for unreviewed action or decision. Required to apply creativity, resourcefulness, and sound judgment to solve difficult problems in areas of expertise.

b. Scope and Level of Duties and Responsibilities

The primary duty of employees in this category consists of the overall management of specific administrative office(s). Responsible for the developing and implementing annual- and long-range strategic and operating plans and scheduling and staffing assigned administrative office(s). Possesses the authority to recommend terms and conditions of employment within assigned area, such as hiring, discipline, appraisal, rates of pay, and termination.

As the Controller, also responsible for implementing the policies and procedures of the University's Financial Affairs Office as they pertain to the special requirements of sponsored research programs, as well as approving financial reports submitted to sponsoring agencies in accordance with the provisions of contracts and grants and the requirements of government audit agencies.

As the Director of Technology Partnerships, responsible for those functions directed toward the transfer and commercialization of the University's technology. In addition, develops collaborative partnerships involving UDRI operating divisions, UD academic departments, external industrial organizations, and community-based technology organizations.

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As Network Operations Manager, responsible for managing the network operations and security including design of network architecture, integration installations, analysis, optimizations and maintenance, using appropriate hardware and software tools.

As Assistant Director for Contracts and Grants, assists University personnel in the preparation of proposals and reviews all proposals for conformance with sponsor guidelines, University policies, and legal requirements. Prepares official proposal budgets and coordinates budgets with Division Heads or academic personnel to ensure budgets are reasonable for proposed programs.

Represents UDRI in interactions with University administration and interfaces directly with research sponsors, other staff members, and the general public as an official representative of UD and UDRI in matters related to administrative specialty on a regular basis. Expected to have thorough up-to-date knowledge of the developments in area of specialization and the ability to devise new approaches to solve difficult problems.

c. Direction Received

Receives direction and guidance only in terms of overall objectives and goals and customarily and regularly exercises discretion. Expected to display a high degree of initiative, creativity, and leadership in performing duties and responsibilities.

d. Responsibility for the Direction of Others

Responsible for the overall supervision and direction of other administrative and administrative support staff and customarily and regularly directs the work of other employees within assigned areas of responsibility.

5. Administrative Research Category A5

TITLES: Associate Director followed by appropriate function.

a. Distinguishing Characteristics

Performance in this category requires a bachelor's degree plus a minimum of 15 years of related experience. An advanced technical degree or an MBA is highly desirable. Responsible for the overall management of an administrative office(s) and operates with considerable latitude for unreviewed action or decision. Required to apply creativity, resourcefulness, and sound judgment to effect solutions to difficult problems in areas of expertise.

b. Scope and Level of Duties and Responsibilities

Primary duty of employees in this category consists of the overall management of a recognized administrative office(s) of UDRI. Responsible for developing and implementing annual and long- range strategic and operating plans, formulating and implementing policies and

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procedures, and scheduling and staffing of the specific areas for which they are responsible. Possesses the authority to make decisions affecting the terms and conditions of employment, such as hiring, discipline, appraisal, rates of pay, and termination.

Provides leadership in developing the human and physical resources of the Research Institute to expand and upgrade current programs and initiate new programs or areas of research. Interacts on a regular basis with all levels of employees throughout the organization. Represents UDRI in interactions with University administration and interfaces with research sponsors, other staff members, and the general public as an official representative of UDRI in matters related to administrative specialty on a regular basis.

c. **Direction Received**

Customarily and regularly exercises discretion and is expected to display a high degree of initiative, creativity, and leadership in performing duties and responsibilities.

d. **Responsibility for the Direction of Others**

Responsible for the overall supervision and direction of other administrative, professional, technical, and administrative support staff and customarily and regularly directs the work of other employees within assigned areas of responsibility.

C. Classification for Technical Employees

Four distinct categories have been established for the classification of technical employees appointed to sponsored research programs of the University. For administrative purposes, these categories have been designated in an abbreviated manner as T1, T2, T3, and T4.

The responsibilities and duties prescribed for all research technical positions meet the requirements for “non-exempt status” under the Fair Labor Standards Act of 1938.

1. Technician Category T1

TITLE: Junior (by field and/or skill)

a. **Distinguishing Characteristics**

This category includes technical appointees with little or no pertinent experience and who are still learning the rudiments of their chosen technical field. High school graduation or its equivalent is required unless specifically waived. The high school curriculum should correspond to the technical requirements of the position, or the employee’s education should have been supplemented with additional formal study to satisfy the basic requirements. A high level of interest and aptitude in the trade or skill is required. Expected to follow instructions, exercise sound judgment, and exhibit good work habits in the daily performance of assigned duties.

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b. Scope and Level of Duties and Responsibilities

Tasks involve performing routine and repetitive technical duties in accordance with explicit instructions and with clearly established guidelines. With increased experience, assigned duties may increase and become more varied. Expected to conduct work according to accepted standards of their trade.

c. Direction Received

May be assigned to assist an engineer or scientist or may work under the direction of a more experienced technician. The objectives, procedures, and techniques, of assignments and the results of the employee's efforts are frequently checked for accuracy.

2. Technician Category T2

TITLE: Identified by field and/or skill only

a. Distinguishing Characteristics

Employees in this category are expected to be capable of applying the fundamentals of their trade or skill toward the completion of laboratory activities associated with research problems. High school graduation or its equivalent plus a minimum of three years of related technical experience is required. Formal technical training beyond high school can be substituted for two years of related experience. Apply skills while working with experimental test equipment, chemicals, tools, etc. Expected to follow instructions, exercise sound judgment, and exhibit good work habits in performing assigned duties.

b. Scope and Level of Duties and Responsibilities

Tasks involve both routine and varied technical duties performed in accordance with standard procedures and established guidelines. Employees in this category function as a general laboratory or shop assistant, providing direct support to a research effort. Expected to be familiar with and able to use the standard tools or techniques of their trade with only general supervision. Assemble equipment and materials required for the tasks, conduct the experiments or studies, and assist as requested in evaluating results. With increased experience, may be called upon to help set up unusual jobs requiring exercise of increasing amounts of technical judgment and ingenuity. Expected to conduct their work according to accepted standards of their trade.

c. Direction Received

Works directly with professionals or a more experienced technician. Capable of meeting the day-to-day technical requirements under general supervision. When performing non-routine or more complex tasks, the details of objectives, procedures, and techniques are generally prescribed. In such cases, progress is frequently checked.

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The results of their work are normally reviewed in sufficient detail to ensure acceptable standards of workmanship and quality.

3. Technician Category T3

TITLE: Senior (by field and/or skill)

a. Distinguishing Characteristics

Employees are expected to be proficient at routine and advanced technical functions in support of a research activity with general supervision. High school graduation or its equivalent, plus a minimum of eight years of related technical experience, is required. Formal technical training beyond high school can be substituted for two years of related experience. Expected to exercise sound technical judgment, initiative, and ingenuity.

b. Scope and Level of Duties and Responsibilities

Tasks involve routine and advanced technical duties performed in accordance with standard procedures and established guidelines. Expected to carry a large measure of responsibility for the laboratory effort associated with one or more research activities. Employees should be well informed in all phases of their specialty and are expected to take the initiative in establishing test setups, conducting experiments, verifying validity of results, etc. Employees should be capable of assisting engineers and scientists in designing and planning overall efforts and suggesting improvements or modifications to equipment or procedures.

c. Direction Received

Receives only general supervision and direction. Given the objectives of a study or experiment and the format for the results, expected to perform the majority of duties independently. When necessary, plans and projects are approved in advance and progress is checked periodically to ensure technical validity of results. Final data and/or results require only spot-checking to ensure accuracy.

d. Responsibility for the Direction of Others

May be required to train, direct, and/or review work of employees at lower level classifications, including student employees, within the assigned area.

4. Technician Category T4

TITLE: Chief (by field and/or skill) and/or Appropriate Supervisory Title (e.g., Team Leader)

a. Distinguishing Characteristics

This category is the highest level attainable by a technician. Expected to proficiently perform diverse and advanced technical functions in support of a research activity with minimal supervision. High school graduation or its equivalent plus a minimum of 12 years of related technical experience is

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required. Formal technical training beyond high school can be substituted for two years of related experience. Expected to exercise sound technical judgment, initiative, and ingenuity.

The position may be supervisory or nonsupervisory. Supervisory employees are responsible for the timely and successful management of a supporting research activity and may be required to evaluate other employees during the performance appraisal process. Nonsupervisory employees are expected to demonstrate outstanding technical competence on numerous projects in their areas of expertise.

- b. Scope and Level of Duties and Responsibilities (one or both of the following)

Supervisory: Tasks involved all appropriate functions involved in a research support activity. Ensures adherence to established policies and procedures.

Technical: In addition to performing diversified and advanced technical duties in accordance with standard procedures and established guidelines, expected to develop and establish new procedures and guidelines. Expected to carry a large measure of responsibility for the laboratory effort associated with one or more research activities and to take the initiative in establishing test setups, conducting experiments, verifying validity of results, etc. Expected to be capable of assisting engineers and scientists in designing and planning overall efforts and of interpreting results and modifying equipment or procedures in order to achieve research goals. Demonstrates a unique technical capability within his/her field and is able to work at the highest level of technical competence either independently or as part of a group.

- c. Direction Received

Receive minimal supervision and direction. When necessary, provided guidance and approval on unusual or complex assignments. Given the objectives of a study or experiment and the format for the results, expected to perform and conduct duties independently.

- d. Responsibility for the Direction of Others

Depending upon the position, may be responsible for supervising, directing, and/or training employees at lower level classifications, including student employees, within the assigned area. When qualified, supervision may be as a Team Leader; see description in Section III.

D. Classifications for Non-exempt Administrative Support Staff

The responsibilities and duties prescribed for all research secretarial and clerical positions meet the requirements for "non-exempt status" under the Fair Labor Standards Act of 1938.

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Effective May 1, 2000, the University of Dayton, including the Research Institute, adopted the Hay method of job evaluation for classifying all secretarial, clerical, and related administrative support positions.

The Hay system of evaluating and classifying positions is based on the assumption that job performance meets acceptable standards. The evaluation process examines the way work is expected to be done. The actual performance and the characteristics of the employee involved in the work are excluded from the process. The Hay method does not measure an individual's effectiveness or need for development, but rather focuses solely on the content of the job.

The Hay system of classification is based on an evaluation of the differences between jobs or positions in terms of a common set of factors to which points are assigned. The total evaluation points for each of the factors are then translated into a job grade. The three factors are explained below.

1. Know-How

This factor is the total of every kind of skill and knowledge, however acquired, needed to conduct activities that are required for acceptable performance in the position. It has both breadth (comprehensiveness) and depth (thoroughness). One position may require some skills and knowledge in many areas, while another concentrates in a few areas. The requirements for Know-How for both positions could be equal. Total Know-How combines depth and breadth. This concept makes it practical to weigh and compare the total different assignments in terms of "how much skill and knowledge in how many areas."

An important concept is the "equivalency" of work experience and formal education. Skills and knowledge for assignments can be acquired or learned in many different ways. The focus in this method is not on the length and kind of formal education or certification to prepare a person for a particular assignment, but on the skills and knowledge themselves, "however acquired."

2. Problem Solving

This factor considers the original thinking needed to analyze situations and create, evaluate, and adopt conclusions. Problem Solving increases if thinking is not conditioned by fixed methods or tested against history or requirements of broader processes. This factor considers the amount and significance of original, "self-starting" thinking.

Problem Solving adds to Know-How because, "you think with what you know." This is true of even the most creative work. The raw material of any thinking is something already there. Problem Solving considers the intensity and complexity of mental processes. Problem Solving is considered in terms of the typical work in an assignment, rather than the most extreme or emergency situations.

3. Accountability

Accountability is the answerability for an action and its consequences. It measures the freedom to act or degree of control that the job has to take independent action. Accountability also measures the impact of actions and the size or magnitude of the areas affected by the position. Impact and magnitude are

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considered together. For example, an assignment may have primary impact on a small part of the organization or contributory impact on a relatively large part.

For more information on position classifications, please see the Position Classification Guide for Administrative Support Staff, which is available through the University Human Resources Office Web site: <http://www.udayton.edu/~hr/hayclass/index.html>.

III. SUPERVISORY ROLES AND TITLES

There are three distinct supervisory roles: Division Head (DH), Group Leader (GL), and Team Leader (TL). The duties and responsibilities of a supervisory role include those expected of the classification.

1. Supervisory Role - Division Head

a. Distinguishing Characteristics

This position is open to the P4 category. Performance at this level also requires a bachelor's degree plus a minimum of 15 years of directly related experience. As a general rule, work experience gained during a Ph.D. program counts as a maximum of two years (at half time) of directly related work experience. An advanced technical degree is preferred. Employees in this category are responsible for the overall management of a technical division and operate with considerable latitude for unreviewed action or decision. Must have demonstrated the ability to lead and coordinate the activities of multiple research groups. Good interpersonal and effective communication skills (both verbal and written) are preferred.

b. Scope and Level of Duties and Responsibilities

Provides overall management of an established technical division. Provides general direction and guidance in terms of overall objectives and goals of the Research Institute. Responsible for developing and participating in research projects related to varied problem areas and/or disciplines. Regularly interfaces with customers, faculty, staff members, and the general public in matters related to area of technical specialty. Authorizes and provides resources for research contracts performed within the division. Establishes broad marketing goals for division and contributes to marketing and proposal efforts. Provides leadership in building research programs in technical division by attracting key investigators and obtaining research sponsorship. Authorizes requests for marketing and proposal writing support. Authorizes safety and security procedures and associated training for division employees. Authorizes travel and expenditures for division personnel. Division heads are responsible for the development and implementation of annual and long-range strategic and operating plans and the scheduling and staffing of the assigned technical division. Division heads recommend the terms and conditions of employment within the assigned division, such as hiring, discipline, appraisal, rates of pay, and termination.

c. Direction Received

Receives general direction and guidance in terms of overall objectives and goals of the Research Institute and customarily and regularly exercises

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discretion. Displays a high degree of resourcefulness, initiative, and leadership in performing duties and responsibilities.

d. Responsibility for the Direction of Others

Responsible for the overall supervision and direction of professional, technical, and administrative support staff in the division.

2. Supervisory Role - Group Leader

Business cases drive the formation of Groups. Division Heads, in consultation with the Director's Office, generally form a Group to successfully execute a research operation of moderate size and complexity. Appointment of Group Leaders follows applicable UDRI and UD Human Resources procedures. Groups include all aspects of a comprehensive research operation, including new business development, external and internal customers, contracts and deliverables execution, personnel development and management, facility and equipment management, and, as appropriate, internal funds administration, and are comprised of at least six Full Time Equivalent (FTE) UDRI staff members including the Group Leader. (See below for clarification on Group composition.) Groups are expected to be stable and enduring, but may be disbanded if they go below a particular size, or there is concurrence between Division Head and Director's Office that a reorganization and disbandment of a group, or reconfiguration as a Team, is required.

Group Composition: The six FTE requirement for Groups may be met by a combination of full-time and part-time UDRI staff. A full-time individual is one FTE, and as an example of part-time, a 3/4-time individual is 0.75 FTE. Part-time staff below 1000 hours/year (0.5 FTE) may count towards the FTE requirement if they provide a substantive contribution to the Group with a consistent schedule – i.e., not “on call, when needed” – subject to review and approval by the Division Head and Director's Office. All “counted” members of the Group are direct reports to the Group Leader. Students – whether undergraduates, graduates, or co-ops – are not staff and therefore not counted towards the six FTE total.

a. Distinguishing Characteristics

This position is open to the P2, P3 and P4 categories. Performance at this level also requires a bachelor's degree in a relevant field, plus a minimum of one year of direct supervisory experience. An advanced technical degree is preferred. Employees in this category are responsible for the overall management of a technical Group and operate with a substantial level of unreviewed decision making and action, but must defer to Division Head for assignment of division resources (Bid and Proposal, Surplus, etc.). Must have the demonstrated ability to lead and coordinate the activities of multiple staff and disciplines. Good interpersonal and effective communication skills (both verbal and written), are essential.

b. Scope and Level of Duties and Responsibilities

Provides overall management of a Group within an established technical division. Responsible for developing, planning and participating in research projects related to multiple and/or varied problem areas and/or disciplines. Regularly interfaces with customers, faculty, and/or staff members in matters related to Group's areas of technical specialty. Authorizes and provides resources for research contracts where the Group Leader has signatory authority (is principal investigator or project manager). Provides input to division head on Group and Division marketing goals, and contributes to marketing and proposal efforts. May be called upon to serve as proposal manager in

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cases of large multi-division contracts and/or multi-million dollar proposals. May be called to be acting Division Head in the absence of the Division Head for long periods of time (medical leave, travel, etc.) Reviews staff requests for marketing and proposal writing support, but does not authorize said efforts. Responsible for providing support and suggestions on terms and conditions of employment within the assigned Group, such as hiring, discipline, appraisal, rates of pay, and termination. Responsible for performance reviews, time card authorization, and Group fiscal management. Provides liaison between Group employees and Division Head plus Director's Office consistent with an open-door policy. Seeks continual improvement and provides management support for quality initiatives.

c. **Direction Received**

Receives only general direction and guidance from Division Head. Displays a high degree of resourcefulness, initiative, and leadership in performing duties and responsibilities. Responsibility for the Direction of Others. Responsible for the overall supervision and direction of professional, technical, and administrative support staff in the Group. Responsible for providing mentoring, career development assistance, and employee training to those within the Group, whether directly or by referring members to appropriate training or resources.

3. Supervisory Role - Team Leader

Business cases drive the formation of Teams. Group Leaders, Division Heads, or Administrative Office Heads, in consultation with the Director's Office, will generally form a Team around a single research or business thrust or capability to ensure it has the necessary focus to keep it productive and successful. Appointment of Team Leaders follows applicable UDRI and UD Human Resources procedures. For example, a Team may be formed to sustain an important technical capability such as operating a laboratory (including personnel expertise and equipment functionality); to sustain an ongoing research thrust, especially in a Group that has grown so large that the Group Leader needs assistance in providing the necessary focus and leadership to the thrust area; or to develop and grow a new research thrust. Teams also may be formed to oversee critical, ongoing administrative functions, such as accounts receivable, proposal support, or property management. Teams are comprised of at least three Full Time Equivalent (FTE) UDRI staff members including the Team Leader. (See below for clarification on Team composition.) Teams are expected to have some permanence, but can be formed and disbanded as UDRI organization and division business needs merit. As with Groups, the Director's Office shall be consulted when a Team is to be disbanded and the Team Leader reassigned to another role. Three or more staff members brought together to execute a single program/project, though valid and necessary for the success of the program/project, does not meet this permanence criterion and therefore does not constitute a Team for purposes of the Team Leader position classification.

Team Composition: The three FTE requirement for Teams may be met by a combination of full-time and part-time UDRI staff. A full-time staff member is one FTE, and as an example of part-time, a 3/4-time individual is 0.75 FTE. Part-time staff below 1000 hours/year (0.5 FTE) may count towards the FTE requirement if they provide a substantive contribution to the Team with a consistent schedule – i.e., not “on call, when needed” – subject to review and approval by the Division Head or Administrative Office Head, and Director's Office. All “counted” members of the Team are direct reports to the Team Leader. Students – whether undergraduates, graduates, or co-ops – are not staff and therefore not counted towards the three FTE minimum.

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a. Distinguishing Characteristics

This position is open to P2, P3, P4, T4, A1 and A2 categories. Employees in this category are responsible for the management of an employee Team and operate with a level of unreviewed action and decision making, but must defer to Group Leader or Administrative Office Head on Group/Office level decisions and assignments of resources. Must have the demonstrated ability to lead and coordinate the activities of a Team relative to capability, organization, or contracts. Good interpersonal and effective communication skills (both verbal and written) are essential.

b. Scope and Level of Duties and Responsibilities

Provides supervision of a Team within an established technical Group, Division, or Administrative Office. Examples of assignments include laboratory manager, research project lead scientist/investigator, and administrative function lead. Responsible for providing recommendations for hiring, training, work assignments, disciplinary actions, appraisals, rates of pay, and termination within the Team. Responsible for performance reviews, time card authorization, and/or contract / account number financial reviews. Regularly interfaces with customers, faculty, and/or other staff members in matters related to areas of team lead assignment. Other responsibilities will be a function of Research Operations or Research Administration activities, and are described below:

Research Operations:

Responsible for developing, managing, and participating in laboratory activities/project efforts related to varied problem areas, disciplines, or assigned group/division capability area. Reviews, but does not typically authorize or provide resources for research contracts, with the exception of cases where the Team Leader is principal investigator or project manager. Provides input to Group Leader on group marketing goals, and contributes to marketing and proposal efforts. May review team member requests for marketing and proposal writing support, but does not authorize said efforts.

Research Administration:

Responsible for developing and participating in administrative activities/project efforts related to Team's varied problem areas, disciplines, or assigned administrative areas. Develops and implements standard administrative procedures and process improvements applicable to the Team's work area. Reviews team member requests and recommendations for process changes and improvements.

c. Direction Received

Receives only general direction and guidance from supervisor (Group Leader, Division Head or Administrative Office Head). Displays a high degree of resourcefulness, initiative, and leadership in performing duties and responsibilities.

d. Responsibility for the Direction of Others

Responsible for the supervision and direction of professional, technical, and administrative support staff in the team. Responsible for assisting supervisor (Group Leader, Division Head or Administrative Office Head) with identifying needs for training and mentoring for members of the team.