UNIVERSITY SENATE  
Third Meeting, Monday, 21 November 2011, 2:30 p.m.  
Dean’s Auditorium, Pfendler Hall

AGENDA

1. Call to order  
   Professor Morris Levy

2. Approval of Minutes of 24 October 2011

3. Acceptance of Agenda

4. Remarks by the President  
   President France A. Córdova

5. Remarks of the Chairperson  
   Professor Morris Levy

6. Résumé of Items Under Consideration  
   by Various Standing Committees  
   For Information  
   Professor Timothy Folta

7. Question Time

8. University Senate Document 11-6  
   Reapportionment of the University Senate  
   For Action  
   Professor Timothy Folta

9. University Senate Document 11-1  
   Revisions of the Research Faculty Policy  
   For Discussion  
   Professor David Williams

10. University Senate Document 11-3  
    Open Access Policy  
    For Discussion  
    Professor A. Paul Schwab

11. University Senate Document 11-4  
    Undergraduate Admissions Policy  
    For Action  
    Professor Teri Reed-Rhoads

12. Update on BIERC Activities  
    For Information  
    Professor Larry DeBoer

13. New Business

14. Memorial Resolutions

15. Adjournment
1. The meeting was called to order at 2:40 p.m. by Chairperson Morris Levy.

2. The minutes of the meeting of 24 October 2011 were approved as distributed by a vote of 96% of the voting members of the Senate in favor and 4% abstaining. NB: the Senate used a clicker system for voting for the first time at this meeting. Hence, the results are reported in percentages.

3. The agenda was accepted as distributed by a vote of 98% approving and 2% abstaining.

4. President France A. Córdova presented remarks to the Senate (see Appendix A).
5. Professor Levy presented the report of the chairperson (see Appendix B).

6. Professor Morris Levy, standing in for Professor Timothy Folta, presented, for information, the Résumé of Items under Consideration (ROI) by Various Standing Committees (see Appendix C). Professor Joan Fulton, standing in for the Chair of the Nominating Committee, Professor Natalie Carroll, reminded the Senators that the call for serving on committees will come out in January of 2012. Senators can serve on standing committees of the Senate and any voting faculty member can serve on the faculty committees that report to the standing committees. She urged the Senators to encourage their faculty colleagues to serve on the faculty committees.

7. No questions were forthcoming at “Question Time.”

8. Professor Levy introduced Senate Document 11-6, *Reapportionment of the Senate*. He called for a motion to suspend the rules of the Senate in order to allow the Senate to vote on the document at the current meeting. The motion was made and seconded and it passed by a vote of 96% in favor, 2% opposed and 2% abstaining. Professor Levy asked for a motion to approve Senate Document 11-6. The motion was made and seconded. There was no discussion and the question was called. The motion to approve Senate Document 11-6 passed by a vote of 88% in favor, 2% opposed and 10% abstaining. The reapportionment takes effect in the 2012 – 2013 academic year.

9. Professor David Williams introduced Senate Document 11-1, *Revisions of the Research Faculty Policy*, for Discussion. Prior to the discussion period, Vice President for Research Richard Buckius and Associate Vice President for Research Marietta Harrison provided a brief presentation on the original policy as well as the changes proposed in the current draft policy (see Appendix D). Following the presentation, several questions were posed from the floor. Professor Zarjon Baha asked if this policy involved tenure and promotion issues. It was made clear that Research Faculty professors are not eligible for tenure although they can go through the ranks from Assistant Research Professor to Full Research Professor. The current and proposed policies have guidelines for this promotion process. Professor Paul Robinson asked for clarification of the proposal to allow 25% of the funding for a research faculty member to come from general funds vs. the current policy which prohibits use of general funds, except in special cases. Vice President Buckius emphasized that a waiver request must be made by the unit employing the research faculty member and each waiver request is considered on a case-by-case basis. In addition, any general funds used must come from the unit itself, not from other general fund sources. Professor Joan Fulton asked how individuals who were not associated with an academic department could move through the ranks. She used the example of someone from one of the university research centers that is not associated with an academic department. VP Buckius said that a committee similar to a departmental primary committee is formed and the process is very similar to that of a normal primary committee. These committees follow the guidelines for promotion that are in the current policy and that will be in the new policy, if it is implemented. Professor Robinson expressed his concern that the promotion process is under the authority of the Office of the VPR. VP Buckius said that his office has followed a document from previous Provost Sally Mason with respect to the authority for promotion. VP Buckius said that if it is the will of the faculty and administration to have the Provost oversee the promotion of Research Faculty, he did not see that as an issue. Professor Levy stated that the document would come up for a vote at the January Senate meeting and urged the Senators to carefully read it and the accompanying documents that are located at the Senate web site (www.purdue.edu/faculty).
10. Professor A. Paul Schwab, chair of the University Resources Policy Committee (URPC), presented, for Discussion, Senate Document 11-3, *University Open Access Policy*. Prior to the discussion, Associate Dean of the Libraries, Beth McNeil made a presentation on the topic of open access (see Appendix E). Following the discussion, Professor Levy encouraged the Senators to read the documents online at the Senate web site prior to the vote in the January meeting and forward any questions they might have.

11. Professor Teri Reed-Rhoads, chair of the Educational Policy Committee (EPC) presented, for Action, Senate Document 11-4, *Endorsement of the University Admissions Policy*. Her motion was seconded. No questions or discussion occurred and the vote was taken. The motion to approve the document passed with 88% of the Senators approving, 2% opposing and 10% abstaining. Dean of Admissions Pamela Horne was present at the meeting and will now work with the Provost’s Office to promulgate the University Admissions Policy.

12. Professor Larry DeBoer, chair of the Budget Interpretation, Evaluation and Review Committee (BIERC) updated the Senate members on the recent and upcoming activities of the BIERC (see Appendix F).

13. There was no New Business.

14. No memorial resolutions had been received.

15. The meeting adjourned at 3:55 p.m.
POLICIES FOR REPORTING ABUSE

Indiana State Law

• All are obligated to report child abuse or neglect immediately
  – Call 911 for emergencies
  – Alert senior staff and Purdue Police: 765-494-8211
  – Call Child Protective Services: 800-800-5556

Purdue Policies and Procedures

• Vice President for Ethics and Compliance: http://www.purdue.edu/ethics/
  – Developing self-study module – March 2012
Fast-rising tuition
Decreasing State appropriations

Goal
• Maintain value of Purdue degree
• Grow quality in the academy
• Contribute to economic development

Response
• Double resource capacity through cost-cutting, cost-containment and generating new revenue
# Growth Through Big Ideas

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<th>Efficient and Effective Purdue</th>
<th>Global Purdue</th>
<th>Innovative Purdue</th>
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<td>Sustaining New Synergies</td>
<td>Bringing the World to Purdue</td>
<td>Innovation &amp; Commercialization Center</td>
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<td>Academic Program Assessment</td>
<td>Expanding Purdue's Footprint</td>
<td>Purdue Applied Research Institute</td>
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<tr>
<td>Improving Utilization of Assets</td>
<td>Reinventing Purdue Online</td>
<td>International Academy</td>
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Purdue Online
# Growth Through Big Ideas

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<td>Corporate Activities Integration</td>
<td>Focus industry and corporate activities via a one-portal approach</td>
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<tr>
<td>Innovation &amp; Commercialization Center</td>
<td>Expand proof-of-concept, prototype development, and scale-up activities</td>
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<tr>
<td>Purdue Applied Research Institute</td>
<td>Engage in university-based contract research</td>
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<tr>
<td>International Academy</td>
<td>Deliver non-degree, non-residential, continuing and executive education</td>
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University Senate: Nov. 21, 2011

◆ Preparing for a busy Senate agenda

Please see Postings at Senate website:
http://www.purdue.edu/faculty/meetings.cfm

For 11-21-11: Research Faculty (7 documents ; presentation)
Doc. 11-3 Open Access
Doc. 11-4 Admissions Policy
Doc. 11-6 Reapportionment

For 1-23-12: Doc. 11-7 Core Curriculum & Appendices

◆ Dear Senators/Faculty/Staff: Please read documents and address Questions in Advance to Committee Chairs, Joe Camp or Morry Levy

◆ Steering Committee considering additional Spring meetings
University Senate: Nov.21, 2011

◆ Special Advisory Committee Meeting following the Senate meeting (Executive Session)
  1. Discuss results of Qualtric’s survey responses and notes from Forum’s on New Presidential Search Criteria
  2. Determine format of formal recommendations to Search Committee
  3. Begin draft recommendations for SAC review, amendment and approval

◆ Recognizing Excellence in Student Organizations:
  Purdue’s AISES (American Indian Science and Engineering Society) Chapter
NATIVE STUDENTS AT PURDUE

BOILERMAKERS
STUDENT ORGANIZATIONS
NATIVE AMERICAN EDUCATIONAL AND CULTURAL CENTER

American Indian Science and Engineering Society (AISES)

Native American Student Association (NASA)

Society for the Advancement of Chicanos and Native Americans in Science (SACNAS)

AISES Regional Conference
Pumpkin Carving Party
February 2010

AISES-SACNAS Valentine Party
October 2011

NASA Frybread Cook-off
February 2009

NASA
November

Purdue University
November 2010
NASA wins
**Judge’s Choice** and **People’s Choice Award**
Eiteljorg Museum Frybread Cookoff

November 2010
Purdue AISES wins
**Professional and Chapter Development Award**
2010 AISES National Conference

April 2011
NASA wins
**Outstanding Program Award**
Purdue Student Organization Leadership Awards Banquet
2011 AISES National Conference Award Winners

RaeLynn Butler  
(Muscogee Creek)  
First Place Award  
Graduate Student Oral Presentation  
“Weed Suppression in Organic Tomato Production with Cover Crops”  
Graduate Student, Botany & Plant Pathology, College of Agriculture

Darryl Reano  
(Acoma Pueblo)  
First Place Award  
Graduate Student Poster Presentation  
“Our Cultural and Geological Connections at Acoma Pueblo, NM”  
Graduate Student, Earth & Atmospheric Sciences, College of Science
SAVE THE DATE
February 2 & 3, 2012*

AISES Regional Conference – Region VI
Purdue University
West Lafayette, Indiana

*Tentative date, visit the NAECC website for more information
Ahe’eeh’

Felica Ahasteen-Bryant (Dine’ Nation)
Director
Native American Educational and Cultural Center
Purdue University
Email: fahastee@purdue.edu
Phone: (765) 494-4540

Follow us...
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Become a fan...
Search: Purdue University – Native American Educational and Cultural Center
TO: University Senate
FROM: Timothy Folta, Chairperson, Steering Committee
SUBJECT: Résumé of Items under Consideration by the Various Standing Committees

STEERING COMMITTEE
Timothy Folta, Chairperson
foltat@purdue.edu

The primary responsibility of the Steering Committee is the organization and distribution of the agenda for each meeting of the University Senate. This committee also receives communications from any faculty member or group of members and directs such communications to appropriate committees or officers for attention.

ADVISORY COMMITTEE
Morris Levy, Chairperson of the Senate
levy0@purdue.edu

The responsibility of the University Senate Advisory Committee is to advise the President and/or Board of Trustees on any matter of concern to the faculty.

NOMINATING COMMITTEE
Natalie J. Carroll, Chairperson
ncarroll@purdue.edu

The Nominating Committee is responsible for presenting nominations for the University Senate and University committees. In filling committee vacancies the Nominating Committee seeks to have all interested Senators serve on at least one committee.

EDUCATIONAL POLICY COMMITTEE
Terri Reed-Rhoads, Chairperson
trhoads@purdue.edu

1. Student access and success
2. Review of GPA requirements in early years
3. GPA requirements after readmission
4. Transfer credit
5. Evening Exams
6. Honors College
7. Core Curriculum
8. Academic Program Assessment

FACULTY AFFAIRS COMMITTEE
David J. Williams, Chairperson
djw@purdue.edu

1. Revised University Senate Document 11-1, Research Faculty Policy and Change in Guidelines for Research Faculty
2. On-line Course Evaluation System
3. Regional Campus Proportional Faculty Representation on Purdue University Senate

STUDENT AFFAIRS COMMITTEE
Thomas J. Templin, Co-Chairperson
Sally Hastings, Co-Chairperson
ttemplin@purdue.edu
sahnolte@purdue.edu

1. Student Conduct

UNIVERSITY RESOURCES POLICY COMMITTEE
A. Paul Schwab, Chairperson
pschwab@purdue.edu

1. Open Access to All Scholarly Articles Published by Purdue Faculty
2. Changes in the Business Operation Model for Purdue Employee Travel

Chair of the Senate, Morris Levy, levy0@purdue.edu
Vice Chair of the Senate, J. Paul Robinson, jpr@purdue.edu
Secretary of the Senate, Joseph W. Camp, Jr., jcamp@purdue.edu
University Senate Minutes; http://www.purdue.edu/faculty
Research Faculty
Purdue University
2005-2011

November 21, 2011

Richard O. Buckius, Vice President for Research
Marietta Harrison, Associate Vice President for Research
Research (RF) Faculty Timeline

- **Document 04-4** defines RF position, January 2005
- **RF Implementation Guidelines Issued**, July 2005
- **RF Working Group Convened**, February 2010
- **RF Working Group Meets**, interviews, generates final recommendations, February-April 2010
- **RF Prom. & Appt. Policy Created**, implementation guidelines revised; Policy Office, June 2010-October 2010
- **RF Documents Presented to Faculty Affairs Committee**, January 2011
- **FAC Approves to Endorse Senate Document 11-1**, November 2011
- **RF Documents Presented to Faculty Affairs Committee**, January 2011
## Research Faculty Working Group

<table>
<thead>
<tr>
<th>Name</th>
<th>Position and Department</th>
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</thead>
<tbody>
<tr>
<td>Alan Beck</td>
<td>Dorothy N. McAllister Prof., Comparative Pathobiology</td>
</tr>
<tr>
<td>Daniela Bortoletto</td>
<td>Distinguished Professor, Physics</td>
</tr>
<tr>
<td>Bernard Engel</td>
<td>Head and Professor, Ag. &amp; Biol. Engineering</td>
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<tr>
<td>Cherise Hall</td>
<td>Business Office, Ag.</td>
</tr>
<tr>
<td>Marietta Harrison</td>
<td>AVPR and Professor, Working Group Chair</td>
</tr>
<tr>
<td>Mark Lundstrom</td>
<td>Distinguished Professor, Elec. &amp; Comp. Engineering</td>
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<tr>
<td>Sanjay Mathur</td>
<td>Research Professor, Mech. Engineering</td>
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<tr>
<td>Carol Post</td>
<td>Professor, Med. Chem. &amp; Mol. Pharm.</td>
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<tr>
<td>John Sullivan</td>
<td>Professor, Aero. &amp; Astro. Engineering</td>
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<tr>
<td>Elizabeth Taparowsky</td>
<td>Professor, Biological Sciences</td>
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<td>Dorothy Teegarden</td>
<td>Professor, Foods and Nutrition</td>
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<tr>
<td>Ramesh Vemulapalli</td>
<td>Associate Professor, Comparative Pathobiology</td>
</tr>
<tr>
<td>Howard Weiss</td>
<td>Professor, Psychology</td>
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Review Research Faculty Policies
The Process

Research Faculty Working Group

- Interviewed
  - Heads of Departments with Research Faculty
  - Center Directors with Research Faculty
  - Associate Dean, Graduate School
  - Research Faculty

- Recommended
  - Use unrestricted university funds for partial RF support (major change in Senate Document 04-4)
  - An option for RF appointed in non-academic units to serve as major professors for graduate students
Review Research Faculty Policies
The Process

Faculty Affairs Committee University Senate

  - New Research Faculty Policy
  - Revised Implementation Guidelines for Research Faculty

- Recommended
  - One major change (university funds restricted to 25% of annual compensation)
  - Several minor changes

- Approved
  - To endorse Senate Document 11-1
CURRENT  
(Senate Document 04-4)  

Research Faculty will be supported only from extramural funds.

PROPOSED  
(Research Faculty Policy 2011)  

Research Faculty positions must be primarily supported from extramural funds. It is recognized that certain effort (e.g., proposal writing, serving on graduate student advisory committees, and other activities not related to the objectives of funded research projects) may not be compensated by federal funds. Therefore, at the discretion of the appointing unit and subject to the availability of funds, alternative sources to federal/extramural funding (e.g., gift funds and general funds), may be appropriated by the appointing unit for partial support, not to exceed 25% of the total annual compensation of each Research Faculty position.
CURRENT  
(Senate Document 04-4)

No provision for Research Faculty not appointed to academic units (e.g., interdisciplinary centers) to serve as major professors of graduate students.

PROPOSED  
(Research Faculty Policy 2011)

Non-academic units (e.g., interdisciplinary centers) may seek to establish a departmental affiliation for Research Faculty appointed in their center. Departments must approve any affiliation and bear no financial responsibility for affiliated Research Faculty. Research Faculty affiliated with an academic unit may serve as major professors of graduate students in the department, subject to the policies and procedures of the affiliating department and the Graduate School.
Questions?
## Research Faculty Profile: November 2011

West Lafayette Campus (no Research Faculty on regional campuses)

<table>
<thead>
<tr>
<th>Faculty Type</th>
<th>Total</th>
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<tbody>
<tr>
<td>Tenure-track/tenured Faculty (2010-2011)</td>
<td>1,888</td>
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<tr>
<td>Research Faculty</td>
<td>35</td>
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<tr>
<td>Research Assistant Professor</td>
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<tr>
<td>Research Associate Professor</td>
<td>5</td>
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<tr>
<td>Research Professor</td>
<td>3</td>
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### College of Agriculture (9)
- Agricultural & Bio. Engineering: 1
- Agricultural Economics: 2
- Animal Science: 1
- Biochemistry: 1
- Entomology: 2
- Food Science: 2

### College of Engineering (9)
- Aeronautics & Astronautics: 1
- Electrical & Computing: 1
- Mechanical: 3
- Nuclear: 4

### College of Health & Human Sciences (2)
- Foods and Nutrition: 1
- Psychological Sciences: 1

### College of Pharmacy (1)
- Pharmacy Practice: 1

### College of Science (8)
- Biological Sciences: 1
- Computer Science: 2
- Earth & Atmospheric Sciences: 1
- Physics: 2
- Center for Education & Research Information Assurance & Security (CERIAS): 2

### College of Veterinary Medicine (3)
- Comparative Pathobiology: 2
- Center for Paralysis Research: 1

### Discovery Park Centers (3)
- Bindley Bioscience Center: 1
- Birck Nanotechnology Center: 1
- Network for Computational Nanotechnology (NCN): 1
Other Changes to RF Documents

- **Summer Support**
  - No change in policy or procedures
  - Additional wording: “The summer salary for Research Faculty on academic year appointments funded by the NSF cannot exceed two-ninths of the Research Faculty member’s regular academic year salary. This includes summer salary received from all NSF-funded grants.”
Other Changes to RF Documents

- **Summer Support**
  - No change in policy or procedures
  - Additional wording: “Any Research Faculty member supported entirely from external sources for 12 summer weeks must be able to certify that 100 percent of his or her effort was expended on the sponsored project for the entire period. The Research Faculty member may not participate in any proposal writing, committee work or any other activity not related to the sponsored project without either an internal source of salary funds for that effort or a reduction in the appointment period to a lesser number of weeks.”
Other Changes to RF Documents

- Teaching
  - No changes to policy or procedures
  - Additional wording: “Although Research Faculty do not have regular teaching duties, it is recognized that instances may occur when it is advantageous to expose students to a specialized expertise. In cases where a Research Faculty member is considered for a limited teaching assignment, a separate part-time teaching appointment is required. Such part-time teaching appointments must be prior approved by the Provost and Vice President for Research.”
Other Changes to RF Documents

- Eligibility to Compete for Internal Funding
  - Original policy did not address
  - New Policy: “Research faculty are eligible to compete for funding from competitive trust programs and research awards administered by the Office of the Vice President of Research. Eligibility to compete for other internal funding and college/school based research awards is determined by the individual college/school/center policies.”
Proposed OVPR Appointment Form

Here is the text for the form:

### Office of the Vice President for Research

#### Research Faculty Appointment Form

<table>
<thead>
<tr>
<th>Name</th>
<th>Date</th>
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<th>Date of Appointment</th>
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**Signature:**

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**Office of the Vice President for Research**

**Research Faculty Appointment Form**

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After verification, please check the boxes below:

- Research faculty hires follow the normal search and screen process that are in place for tenure/tenure track faculty hires. *(as per Research Faculty Implementation Guidelines dated 7/25/05.)* If another review process was used, attach separate sheet describing review process and list participants name, title and department.

- The use of general funds < 25% for salary is consistent with Research Faculty Policy and does not constitute a conflict of interest for the appointing unit.

Note: Research Faculty supported 100% on sponsored awards must devote 100% of their effort to the sponsored project(s). Participation in related activities such as proposal writing and serving on graduate student committees requires that a certain proportion of salary support be from non-sponsored sources. For more information please refer to the University Policy II.5.1 on Effort Reporting (http://www.purdue.edu/policies/pages/finances/finances.html)
Frequently Asked Questions
Frequently Asked Questions

Who is eligible to appoint Research Faculty?

Academic units, university approved college/school-based centers, university approved centers reporting to the Office of the Vice President for Research or Vice Chancellor at regional campuses, who have obtained Authorization to Establish Research Faculty Positions.

Do research faculty have to be appointed for 3 years?

No. Three (3) years is the maximum length of the contract period. Research Faculty can be appointed on a yearly basis or for any time interval up to 3 years. Research faculty appointed for less than one semester are not eligible for benefits.
What are the differences between research faculty and research scientists/associates?

The Research Faculty position is distinguished from the Research Scientist/Research Associate position by being a professorial level position with an expectation of scientific independence and national and international distinction. Whereas a Research Scientist/Research Associate is expected to make significant and innovative contributions to a research project, activity or facility, Research Faculty are expected to lead such projects and activities.
How is independence defined for Research Faculty?

Independence can be demonstrated in a variety of ways that may include, but is not limited to, serving as the Principal Investigator of externally funded research projects, serving as the Principal Investigator of sub-projects on large-scale interdisciplinary projects/centers, mentoring of postdoctoral research fellows and graduate students, and freedom to publish independently of senior faculty members.
For Research Faculty appointed in non-degree granting units (e.g., Discovery Park Centers), what does a departmental affiliation mean and how is it obtained?

It may be desirable for RF appointed in non-degree granting units such as Discovery Park Centers to be affiliated with an academic unit(s). Affiliation with an academic department(s) provides access to departmental graduate students and the ability to serve as the major professor to those graduate students consistent with the departmental policies for tenure-track and tenured faculty. RF who do not have academic affiliations can serve on graduate advisory committees, and co-mentor graduate students, but may not serve as sole supervisors for graduate students.

(continued)
Seeking an affiliation with an academic unit is the responsibility of the center appointing the RF member. It is desirable that the department be involved in the review and selection of the RF candidate and that the departmental affiliation is established at the time of the initial appointment. The academic unit will determine whether or not an affiliation is granted. RF appointed in a non-degree granting unit and affiliated with a degree-granting department will be classified as RF Center/Department.

(continued)
Fiscal responsibility for RF appointed in non-degree granting units and affiliated with academic units resides in the appointing unit. Departments have no fiscal responsibilities for RF affiliated with, but not appointed in the department.

Departments may wish to establish policies for individuals holding a RF Center/Department classification. Such policies must be consistent with the University RF Appointment and Promotion Policies document.
Are Research Faculty allowed to teach?

Yes. Although Research Faculty do not have regular teaching duties and teaching is not a merit criterion for promotion, it is recognized that instances may occur when temporary, specialized teaching responsibilities are desirable to expose students, especially graduate students, to specialized, technical expertise. In these instances, it may be appropriate for Research Faculty to offer limited, specialized mini-courses, workshops or a limited lecture/laboratory series. In cases where a Research Faculty member is considered for a limited teaching assignment, a separate part-time teaching appointment is required. Such part-time teaching appointments must be prior approved by the Vice President for Research and the Provost.
Are Research Faculty required to be exclusively supported by extramural funds?

No. While it is necessary for Research Faculty to be supported primarily on extramural funds to fulfill the mission of advancing the research enterprise at Purdue University, it is recognized that proposal writing, graduates student committee service and related activities are not an allowed effort on extramural funds supporting specific projects. It is also recognized that Research Faculty may direct specialized research core facilities that may contribute partial salary support. Therefore appointing units may at their discretion provide partial salary support, not to exceed 25% of the total annual compensation, for each Research Faculty position from unrestricted internal sources including gift funds, general funds, and research core facilities.
What are part-time appointments?

Part-time appointments are defined as less than 100% CUL. Research Faculty may be initially appointed as part-time or a part-time appointment may result from a reduction in funding of a full-time appointment. Research Faculty may not simultaneously hold tenured or tenure-track appointments. Research Faculty holding part-time appointments are subject to the same standards for promotion in rank as Research Faculty holding full-time appointments.
Frequently Asked Questions

What internal funding programs are available for Research Faculty?

Research Faculty are eligible to apply for competitive grants from trusts and research awards administered by the Office of the Vice President for Research (e.g., the Clifford B. Kinley Trust, Ralph W. Grace M. Showalter Research Trust, the Herbert Newby McCoy Award). Their eligibility to apply for other internal funding (e.g., PRF grants) and unit specific awards is determined by the policies established by the college/school/center in which they hold their appointment.
More Eyes on Your Research: Open Access and Purdue e-Pubs

University Senate
November 21, 2011

Beth McNeil, Professor
Associate Dean for Academic Affairs, Libraries
Open Access

• Worldwide – scholars and academic institutions are rethinking access to published findings to make them more available

• Authors are exercising their rights to provide stable access to their published scholarship

• They are doing this by depositing into open repositories, e.g. Purdue e-Pubs
American Universities who have Adopted Open Access Policies

- MIT
- Harvard
- Stanford
- Duke
- Penn
- Princeton
- Kansas
Browse and Search by:

- Author Names
- Departments and Centers at Purdue
- Purdue University Press
- Doctoral Dissertations

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At a Glance

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All time

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20 most recent additions

Paper of the Day

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Adrian Geroget

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• Indexed by Google Scholar
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- Facilitates compliance with funding agency requirements for open access to grant-funded publications
- Provides a centralized, stable archive of your scholarship

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Deposit to e-Pubs

• Establish your rights as author to deposit
• Simple process to deposit with assistance from Libraries
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The Budget Interpretation, Evaluation and Review Committee (BIERC) has had two meetings this semester, with a third to be scheduled. We report to the University Resources and Policy Committee. At our first meeting, on October 3, we decided to take a systematic look at the budget, starting with an overview and working towards more detail. At our second meeting on November 14 Melissa Johnson from Budget and Fiscal Planning offered us the same budget information that was presented to the Trustees. A third meeting will take place in December, when we will hear about the Office of Institutional Research efforts to provide data on budget and staffing. Our intent by then end of the academic year is to develop budget and employment numbers with a narrative, to inform the Senate's discussion and debate.
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<td>Medical Amnesty or PurdueCares</td>
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<td>Endorsement of COACHE Survey Purdue Faculty</td>
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<td>Senate Reapportionment</td>
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<td>11-1</td>
<td>Revised Research Faculty Policy</td>
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</tr>
<tr>
<td>11-3</td>
<td>University Open Access Policy</td>
<td>University Resources Policy Committee</td>
<td>For Discussion</td>
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*Approved
TO: The University Senate  
FROM: University Senate Steering Committee  
SUBJECT: Reapportionment of the University Senate  
REFERENCE: University Senate Document 90-5; University Code D 3.00; Bylaws of the University Senate, Items 2.00 and 2.01  
DISPOSITION: University Senate for Approval and Faculty Units

Section D 3.00 of the University Code, and the Bylaws of the University Senate, provide that the University Senate shall be composed of one hundred two members. Eleven of these are specified in the items 1 through 11 below. The other slots will be apportioned among the West Lafayette faculty units, according to the number of faculty members, with the provision that no faculty unit shall have fewer than two senators. There are 1996 voting faculty members at the West Lafayette campus. When this number is divided by ninety-one the result is 21.93. Therefore, to qualify for more than two senators, a faculty unit should have 44 or more voting faculty members. Since no faculty unit can have fewer than two senators, the Libraries unit qualifies for two senators. The remaining units have a total of 1959 voting faculty members with eighty-nine senate seats remaining to be apportioned among them. The apportionment of senators for each of these remaining units was obtained by dividing the number of voting faculty in the faculty unit by 21.93. The results are as follows: Agriculture, 13.224; Education, 2.918; Engineering, 15.321; Health & Human Sciences, 9.348; Liberal Arts, 13.451; Management, 3.967; Pharmacy, 3.420; Science, 14.865; Technology, 7.889; Veterinary Medicine, 4.925. In order to achieve the desired 89; the College of Liberal Arts was closest to being greater than 0.500 and thus was assigned a value of 14 Senators. The remaining nine units were rounded to the nearest integer.

<table>
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<th>Areas Represented</th>
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Approving
Currently, Purdue documents pertaining to Research Faculty consist of: 1) University Senate Document 04-4 passed in 2004, which defined the position of Research Faculty and; 2) Research Faculty Implementation Guidelines that were issued by the Office of the Vice President for Research in 2005. Two new documents, which are slated to supersede the current documents, are being presented to the University Senate for endorsement. The Research Faculty Policy 2011 is a new policy in Purdue’s official policy format that combines the original Senate Document 04-4 and Research Faculty Implementation Guidelines 2005 into a single document. Details of the appointment process for Research Faculty are now contained in a document entitled “Guidelines for Research Faculty Appointments 2011”.

Two revisions to the original Senate Document 04-4 and the original Research Faculty Implementation Guidelines issued in 2005 are contained in the Research Faculty Policy 2011 and the Guidelines for Research Faculty Appointments 2011. These revisions were proposed by the Research Faculty Working Group that was convened in the spring of 2010 by the Vice President for Research to study the policies relating to Research Faculty at Purdue University.

**CURRENT**  
(from Senate Document 04-4)

Research Faculty will be supported only from extramural funds.

**PROPOSED**  
(from Research Faculty Policy 2011)

Research Faculty positions must be primarily supported from extramural funds. It is recognized that certain effort (e.g. proposal writing, serving on graduate student advisory committees and other activities not related to the objectives of funded research projects) may not be compensated by federal funds. Therefore, at the discretion of the appointing
No provision for Research Faculty not appointed to academic units (e.g., interdisciplinary centers) to serve as major professors of graduate students.

Non-academic units (e.g., interdisciplinary centers) may seek to establish a departmental affiliation for Research Faculty appointed in their center. Departments must approve any affiliation and bear no financial responsibility for affiliated Research Faculty. Research Faculty affiliated with an academic unit may serve as major professors of graduate students in the department, subject to the policies and procedures of the affiliating department and the Graduate School.
Guidelines for Research Faculty Appointments

OCTOBER 2011

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II. Sample Offer Letter
III. Prospective Employee Expenses and Moving Costs
IV. Terms of Employment Contracts
V. Research Faculty Privileges
VI. Compensation and Benefits
VII. Reporting

I. SEARCH WAIVERS

The creation of a research faculty position may be associated with specific extramural funding, the participation of a specific individual, recruitment packages for senior faculty, spousal hires and other special circumstances. In these cases, requests to appoint previously identified individuals to research faculty positions that are not the result of a competitive search should be made to the Director of the Office of Institutional Equity (OIE) prior to any commitments being made to a specified candidate. OIE provides a search waiver form for requesting the appointment of a specific individual, which can be found at:

www.purdue.edu/ethics/contribute_pdf_docs/SearchWaiverResearchFaculty_9.2008_000.pdf

The search waiver request requires a description of the responsibilities of the position, a description of the source(s) of funding used to support the position and an explanation for why the individual should be appointed to the position without conducting a competitive search. The search waiver form requires approval from the Director of OIE and the Vice President for Research. The appointment date cannot pre-date the final Vice President for Research approval date.

Authorization for searches and search waivers at a regional campus will be handled by the Affirmative Action Officer at the individual campus.

II. SAMPLE OFFER LETTER

On behalf of (Dean/Center Director), it is my pleasure to extend to you an offer for the position of Research (Assistant Professor/Associate Professor/Professor) in the (Department/Unit). This appointment is subject to approval by the Vice President for Research of Purdue University.
Guidelines for Research Faculty Appointments

Your initial appointment will be for the period (start date – end date) and is contingent upon the continued availability of research funding. Continuation of this appointment beyond (end date) is possible, contingent upon availability of funds and satisfactory performance. Your initial full-time (academic year or fiscal year) salary will be ($), and will be reviewed annually. This appointment is without tenure/not tenure-track.

For academic year appointments: Your base academic year (AY) salary will be $[Salary] paid in 10 installments during the academic year (salary distributed over 9 months with partial payments in August and May and full payments September to April). Salary increases are based entirely on merit and will be reviewed annually. Your initial appointment will be for the period [start date – end date] and is contingent upon the continued availability of research funding. Continuation of this appointment beyond [end date] is possible, contingent upon availability of funds and satisfactory performance. This appointment is without tenure/not tenure-track.

You also have the opportunity to augment your salary in the summer up to 12 additional weeks from research grants (subject to Research Faculty Funding Guidelines).

As an academic year employee, you will be entitled to vacation when classes are not in session and you are not in pay status.

For offers at rank below Professor and 50 CUL or greater: You may be considered for promotion in rank. Advancement through the academic ranks will be via the academic review process outlined by the (academic department or center) and based upon research accomplishment.

Your responsibilities will include (position specific duties).

For positions 50 CUL or greater: In addition to salary, Purdue University provides a fringe benefit package that includes retirement benefits as well as medical, disability and life insurance. The University provides a 403(b) defined contribution retirement plan administered by Fidelity Investments, and you will be eligible for university-funded contributions immediately. Upon hire, the University will contribute an amount equal to 10 percent of your budgeted salary (and summer earnings) to the 403(b) plan, and you will be required to contribute 4 percent of your budgeted salary (and summer earnings) to Purdue’s 401(a) defined contribution retirement plan. Voluntary savings options are also available upon hire. The other fringe benefits, including medical, disability and life insurance are of high quality. The University Faculty and Staff Handbook provides a more complete description of employee benefits and can be accessed on the Web via the following link: www.purdue.edu/oop/faculty_staff_handbook/index.html.

Moving allowance if applicable: In order to assist you with your move to Purdue, you will be provided a moving allowance of ($). This lump-sum payment represents taxable income and taxes will be withheld from the payment. If these funds are used for qualified moving expenses per current Internal Revenue Service guidelines, income taxes withheld may be
Guidelines for Research Faculty Appointments

recovered on your tax return. Please consult your tax advisor. The procedures and available discount options associated with this allowance will be sent to you under separate cover once an acceptance has been received. Should you elect to voluntarily resign your position within 12 months of your hire date, you may be required to refund this moving allowance to the university.

Moving expense if applicable: Moving expenses will be reimbursed up to an amount of ($) .

Please indicate your acceptance of this offer by returning a signed copy of this letter by (date response required).

III. PROSPECTIVE EMPLOYEE EXPENSES AND MOVING COSTS

Travel expenses for prospective research faculty may be charged to an extramural funding source when allocable.

Moving allowances or reimbursements for new research faculty positions will be allowable as a direct charge to the extramural accounts funding the salary. Where multiple extramural accounts are involved, the moving expenses should be prorated across all accounts funding the position.

When moving costs are charged to federal funds and the funding sources of the appointment change during the first 12 months, the allocation of the moving costs must be revised to be consistent with the distribution of effort for the first 12 months of employment.

When a moving allowance/reimbursement is paid to an employee from federal sponsored program funds and the employee resigns for reasons within their control within 12 months after hire, the institution will be required to refund or credit such moving costs to the federal government. Moving allowance charges in these instances should be reallocated to general or other unrestricted funds. Departments may seek reimbursement of the moving allowance/reimbursement from the individual if the offer letter contains language indicating the individual’s liability if they resign within 12 months.

IV. TERMS OF EMPLOYMENT CONTRACTS

Research Faculty are subject to the provisions of the Terms and Conditions of Employment of Faculty Members policy (Executive Memorandum No. B-50), as updated or superseded. The term of employment contracts for new appointments or the extension of appointments may not exceed three years.

A Form 19 (Appointment to the Faculty) is processed to initiate or extend a research faculty appointment. The term of employment contracts for new appointments or extension of appointments cannot be for more than three (3) year intervals.
Guidelines for Research Faculty Appointments

The Form 19 should indicate the following:

- The period of appointment will include the appointment dates and the “End Signifies” field should be marked “Termination Date without Further Notice.” The Form 19 will serve as both the appointment form and the termination notice.
- A Form 19E – Notice of Non-renewal of Contract will not be needed.
- The Faculty Tenure Status must indicate b) Not eligible for Tenure.
- The offer letter should be referenced on the contract, indicating the date of the offer letter.

Contract dates will be entered into the Human Resources Contract Warning System and will be reflected in HR Master Data. Human Resources will generate a report the first of each month which will include contracts that are ending that particular month. The report will be sent to the college/school/center business office for review and action. In situations involving continuing appointments, a contract extension must be processed. In situations where appointments will not be continuing, a Personnel Action Form (PA) must be processed if all University employment is terminating.

Further questions on this topic can be addressed to the Human Resources department for your campus.

V. RESEARCH FACULTY PRIVILEGES AND ELIGIBILITY

A. Mentoring
   Research Faculty may be members of the graduate faculty and serve as co-mentors and members of graduate advisory committees for graduate students. Research faculty appointed in or affiliated with degree-granting units, may serve as major professors for graduate students, subject to the policies and procedures of the affiliating department and the Graduate School.

B. Committees
   Research faculty may not be elected to the University Senate and are not eligible to serve on tenure-track faculty promotion and tenure committees. Research faculty at the associate and full ranks may serve on unit promotion committees considering promotion of research faculty to a rank equivalent to or lower than the research faculty committee member.

C. Eligibility for Internal Funding and Research Awards
   Research faculty are eligible to compete for funding from competitive trust programs and research awards administered by the Office of the Vice President for Research. Eligibility to compete for other internal funding and college/school based research awards is determined by the individual college/school/center policies.
Guidelines for Research Faculty Appointments

D. **Distinguished, Named and Emeritus Status**

Research faculty are eligible for consideration for distinguished and named status in accordance with the Appointments of Distinguished Professors, Named University Professors, Named Professors and University Faculty Scholars policy (IV.5.2). Such titles may only be conferred when a substantial endowment exists to support the position. Research faculty also are eligible for emeritus status, subject to the same eligibility criteria as for tenure-track and tenured faculty.

VI. **COMPENSATION AND BENEFITS**

A. **Salary**

Salary levels for new research faculty will fall within the range for tenure-track and tenured faculty in the same or similar discipline. Salary supplements for promotion will be consistent with those associated with promotion for tenure-track and tenured faculty.

Research faculty continuing as employees of the University from one fiscal year to the next should be budgeted on the annual operating budget for their college/school/center. Their salaries should be distributed on the appropriate funds based on an estimate of how they will be paid.

Research faculty will be eligible for annual merit salary increases as governed by the salary policy for their respective campus. Salary increases for the Research Faculty classification will be averaged with tenure-track, tenured and clinical/professional faculty salary increases. These increases will be effective on July 1.

Research faculty are eligible for special merit pay in accordance with the Special Merit Pay policy (IV.5.4). If such pay is granted, it must be charged to non-federal funds.

Research faculty promoted to a higher academic rank will be eligible for the same promotion increment as tenure-track and tenured faculty positions. These promotion increments are set annually as part of the annual budget process. Since research faculty are funded primarily from non-general funds, the promotion increments will not be centrally funded. The promotion increments will be charged to the same accounts as the salary of the research faculty member.

*Further questions on this topic can be addressed to the compensation department for the West Lafayette campus, or the human resources department for regional campuses.*

B. **Benefits**

Research faculty with appointments of 50 percent CUL or greater are eligible for the same employment benefits as tenure-track and tenured faculty with the exception of sabbatical leaves and paid leave for outside activities. Appointments less than 50 percent CUL and Short-Term Appointments are not eligible for benefits.
Guidelines for Research Faculty Appointments

Fringe benefits, including but not limited to employer payments for Social Security, Medicare/Medicaid, retirement, group life insurance, long term disability, medical insurance and staff fee remissions, must be charged to the same funding source supporting the salary.

Vacation and holiday pay and pay for military and sick leaves will be charged consistent with the practices in place for all faculty.

Further questions on this topic can be addressed to the benefits department for the West Lafayette campus, or the human resources department for regional campuses.

C. Leaves
Research faculty are eligible for the same paid leaves of absence provided to all faculty by university policy, with the exception of sabbatical or outside activity leaves. Paid leaves must be funded from non-general fund sources, regardless of the leave period. Vacation, holiday, military leave and sick leave are allowable direct costs that may be prorated on the basis of the projects or accounts the Research Faculty member is working on at the time the leave is taken.

Vacation pay upon termination of a Research Faculty position may be allocable as a direct cost to an extramural source, depending on the specific circumstances at termination. A determination must be made prior to the certification and distribution of the final payroll as to whether the vacation pay was accrued while the research faculty member was on the project funded by the extramural source. If so, it is an allowable charge to the project. If not, an alternate allowable funding source will be required.

Further questions on this topic can be addressed to the benefits department for the West Lafayette campus, or the human resources department for regional campuses.

D. Support
Research Faculty positions must be primarily supported by extramural or non-general funds, which includes salaries, supplemental payments and fringe benefits. However, certain research-related effort such as proposal writing and graduate student committee work cannot be compensated for by federal funds. Therefore it is desirable that a small proportion of Research Faculty effort be supported by alternative sources, which may include gift and general funds. Support from non-external funds (e.g., gift and general funds) may not exceed 25% of the total annual compensation of each Research Faculty position. Sources of salary support must be detailed on the Research Faculty Appointment Form. The Research Faculty Appointment Form must be signed by the Department Head/Center Director and Dean/Executive Director of Discovery Park of the appointing unit.

Summer Support
Allowable limits of summer support for Research Faculty on academic year appointments funded by sponsors other than the National Science Foundation (NSF)
Guidelines for Research Faculty Appointments

must be verified with the sponsor, as the policies for such vary by sponsor. If the sponsor does not limit the summer support, the University will allow support up to a maximum of 12 weeks, or 30 percent of the academic year salary. Any Research Faculty member supported entirely from external sources for 12 summer weeks must be able to certify that 100 percent of his or her effort was expended on the sponsored project for the entire period. The Research Faculty member may not participate in any proposal writing, committee work or any other activity not related to the sponsored project without either an internal source of salary funds for that effort or a reduction in the appointment period to a lesser number of weeks. Refer to the policy on Effort Reporting (II.5.1) for full details.

The summer salary for Research Faculty on academic year appointments funded by the NSF cannot exceed two-ninths of the Research Faculty member’s regular academic year salary. This limit includes summer salary received from all NSF-funded grants.

VII. REPORTING

Research Faculty will have a unique position title in the system and reporting files. This will allow Research Faculty to be reported appropriately, depending on the definition of the intended report.
Research Faculty Appointment and Promotion (._._._)

Volume __: [University Policy Office will complete]
Chapter__: [University Policy Office will complete]
Responsible Executive: Vice President for Research
Responsible Office: Office of the Vice President for Research
Date Issued: [Date TBD]
Date Last Revised: N/A

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STATEMENT OF POLICY

Research Faculty positions are intended to provide a career path that allows for independence, individual scientific growth and the opportunity for promotion through scientific ranks. They are envisioned to be equivalent to the tenure-track faculty position without the responsibility of didactic teaching and without eligibility for tenure.

Research Faculty will be appointed with academic rank equivalent to tenure-track faculty (i.e., assistant professor, associate professor or full professor). The faculty rank of instructor is not available for Research Faculty. Qualifications for the three Research Faculty ranks are comparable to those of tenure-track ranks, but with primary or singular focus on research credentials. The ability to secure external funding does not automatically qualify individuals for Research Faculty appointments.

Individuals appointed to Research Faculty positions will:

1. Engage in activities that support the academic and scholarly life of the University, particularly those that enhance the discovery mission of the University.
2. Possess outstanding research credentials, similar to the research credentials of tenure-track and tenured faculty at comparable rank.
3. Possess a doctorate or appropriate terminal degree in their field of research.
4. Participate in activities that enhance professional growth.
5. Develop and lead independent research programs.

The primary responsibilities of Research Faculty are research and research-related activities such as proposal writing, project supervision and teaching/mentorship specifically linked to their scholarship and research programs (e.g., supervision of undergraduates, graduate students and Postdoctoral Research Associates). Although Research Faculty do not have regular teaching duties, it is recognized that instances may occur when it is advantageous to expose students to a specialized expertise. In cases where a Research Faculty member is considered for a limited teaching assignment, a separate part-time teaching appointment is required. Such part-time teaching appointments must be prior approved by the Vice President for Research and the Provost.

Research Faculty positions must be primarily supported by extramural or non-general funds. It is recognized that certain effort (e.g., proposal writing, serving on graduate student advisory committees and other activities not related to the objectives of funded research projects) cannot be compensated by federal funds. Therefore, at the discretion of the appointing unit and subject to the availability of funds, alternative sources to federal/extramural funding, including gift funds and general funds, may be appropriated by the appointing unit for partial support, not to exceed 25% of the total annual compensation of each Research Faculty position.

Except as noted in this policy, Research Faculty are subject to the policies, procedures, guidelines and regulations governing tenure-track and tenured faculty.

REASON FOR POLICY

In January 2005, the University Senate passed University Senate Document 04-4 as Amended and Approved January 24, 2005. This document, titled “Proposal for Non-Tenure Track Research Faculty within Purdue University,” established the employment classification of Research Faculty in response to the changing research environment and evolving discovery mission of the University. This policy revises the principles and procedures for the appointment and promotion of Research Faculty at Purdue University.

INDIVIDUALS AND ENTITIES AFFECTED BY THIS POLICY

All campuses, units, faculty, staff and students at Purdue University.

WHO SHOULD KNOW THIS POLICY

Board of Trustees
President
Chancellors
Vice Presidents
Vice Chancellors
Associate and Vice Provosts
Deans/Directors
Department/School Heads/Chairs
Faculty
Staff involved in the screening and hiring process of Research Faculty
Supervisors
Business Services Staff

EXCLUSIONS

There are no exclusions to this policy.

WEBSITE ADDRESS FOR THIS POLICY

[University Policy Office will complete.]

CONTACTS

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<tr>
<th>Subject</th>
<th>Contact</th>
<th>Telephone</th>
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<tr>
<td>Policy Clarification</td>
<td>Office of the Vice President for Research</td>
<td>765-494-6209</td>
<td><a href="mailto:ovpr@purdue.edu">ovpr@purdue.edu</a></td>
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<td>Campus Specific Questions</td>
<td><strong>Calumet:</strong> Vice Chancellor for Academic Affairs</td>
<td>219-989-2446</td>
<td>webs.calumet.purdue.edu/acadaffrs/</td>
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<td><strong>Fort Wayne:</strong> Vice Chancellor for Academic Affairs</td>
<td>206-481-6116</td>
<td>new.ipfw.edu/oaa/</td>
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<td><strong>North Central:</strong> Vice Chancellor for Academic Affairs</td>
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<td>765-494-6209</td>
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<td>Search and Search Waivers</td>
<td><strong>Calumet:</strong> Affirmative Action/EEO</td>
<td>219-989-2251</td>
<td></td>
</tr>
<tr>
<td></td>
<td><strong>Fort Wayne:</strong> Equal Employment Opportunity and Affirmative Action</td>
<td>260-481-6106</td>
<td></td>
</tr>
<tr>
<td></td>
<td><strong>North Central:</strong> Equal Opportunity/Affirmative Action</td>
<td>219-785-5545</td>
<td></td>
</tr>
</tbody>
</table>
DEFINITIONS

**Area Committee**
A college, school or center level committee that considers candidates for promotion. In situations where no such committee exists, the Vice President for Research will appoint an ad hoc committee to perform the same functions.

**Board of Trustees**
The Board of Trustees of The Trustees of Purdue University.

**CUL**
Capacity utilization level, or a faculty member’s full-time equivalency.

**Panel C**
A West Lafayette campus level committee that considers Research Faculty promotion candidates. Committee membership is comprised as follows:

- Provost as chair
- Vice President for Research (ex officio)
- Two academic deans or associate deans from colleges/schools that employ Research Faculty
- Three faculty members appointed by the Provost from the University Promotions Committee
- Three research professors appointed by the Provost

**Postdoctoral Research Associate**
A scholar or researcher who is temporarily undergoing academic study or training beyond the level of a doctorate degree and is supervised/mentored by a faculty member.

**Primary Committee**
A department level committee that considers candidates for promotion. In situations where no such committee exists, the Vice President for Research will appoint an ad hoc committee to perform the same functions.

**Provost**
Purdue’s Executive Vice President for Academic Affairs and Provost.

**Purdue, University and Purdue University**
Any campus, unit, program, association or entity of Purdue University, including but not limited to Indiana University-Purdue University Fort Wayne, Purdue University Calumet, Purdue University North Central, Purdue University West Lafayette, Purdue Cooperative Extension Service and College of Technology Statewide.
Research Faculty
A non-tenure professorial position that reports to a department head or center director. Research Faculty carry no sustained teaching duties other than the supervision of the research activities of undergraduate and graduate students and Postdoctoral Research Associates. They are qualified and expected to develop and lead independent research programs.

Research Faculty Center/Department
A Research Faculty member appointed in a non-degree granting unit (center) for whom the center has established a formal relationship with a degree-granting, academic unit(s). Individuals holding the classification of Research Faculty Center/Department may serve as graduate mentors for graduate students in the academic unit(s) with which the relationship exists, subject to the policies and procedures of the graduate school. Departmental/college/school policies addressing graduate student mentorship that apply to tenure-track/tenured faculty will apply equally to Research Faculty.

Research Scientist/Research Associate
Researchers who work collaboratively with and typically report to academic or Research Faculty members and generally do not have the qualifications to become a faculty member. Research Scientists/Research Associates are not expected to direct independent research programs and may not serve as principal investigators on grant applications without prior approval of the appointing unit head/director, the appropriate dean/Discovery Park executive director and the Vice President for Research. The Research Scientist/Research Associate position can be a career path to the Research Faculty position. This definition is provided in order to distinguish this position from that of Research Faculty.

Short-Term Appointments
Any appointment of less than one semester (for calendar year appointments) or five months (for fiscal year appointments), regardless of the CUL.

RESPONSIBILITIES

Vice President for Research
Administer this policy.

Review requests to establish Research Faculty positions and make a final determination.

Review Research Faculty appointments for prior approval when applicable and make a final determination.

Appoint ad hoc Primary and Area Committees as needed.

Serve on Panel C.

Take all Research Faculty promotion recommendations to the Board of Trustees for ratification.

Chancellor
Review Research Faculty promotion candidates forwarded from the Area Committee; submit approved candidates to the Vice President for Research for final approval.

Provost
Serve as chair of Panel C.

Vice Chancellor for Academic Affairs
Review requests to establish Research Faculty positions and determine what approvals are required prior to the request being submitted to him or her for review.

Academic Units and Centers
Document the guidelines and requirements for Research Faculty specific to their unit.

Department/School Heads and Center Directors
Review requests to establish Research Faculty positions in their units and determine whether to forward the request to the next level.

Deans and Executive Director of Discovery Park
Review requests to establish Research Faculty positions in their units and determine whether to forward the request to the next level.

Upon authorization to establish a Research Faculty position, authorize the search.

Ensure appropriate funding exists to support the Research Faculty position.

Obtain prior approvals as necessary for Research Faculty appointments and extend an offer.

Primary Committee
Consider Research Faculty candidates for promotion.

Area Committee
Consider Research Faculty candidates for promotion following the Primary Committee’s review.

Panel C
Consider Research Faculty candidates for promotion on the West Lafayette campus following the Area Committee’s review.

Research Faculty
Adhere to the requirements of this policy and the terms and conditions of their employment contract.

PROCEDURES

1. Authorization to Establish Research Faculty Positions
   A. Requests for the establishment of Research Faculty positions must originate within an academic unit or center. Colleges/Schools may desire to establish a uniform set of
guidelines for Research Faculty positions in all departments within the college/school where such an approach is appropriate.

Units interested in establishing Research Faculty positions are required to document the guidelines and requirements specific to their unit. The following aspects, as appropriate to the unit, must be included in the documentation:

- General requirements for appointment to the Research Faculty (educational background, professional expertise, etc.). Appointment processes must follow appointment processes for tenure-track/tenured faculty.
- Guidelines for annual review, reappointment and promotion
- Unit voting privileges
- Other unit specific guidelines or considerations

All guidelines and requirements must be consistent with the overall university guidelines as approved by the University Senate and outlined in this policy. In cases where inconsistencies arise between college/school/center guidelines and this policy, this policy prevails.

B. Once the unit has documented the above, it must obtain authorization to establish the Research Faculty position(s). All requests must be approved by the Vice President for Research. The following approvals relative to the unit type/location must be obtained prior to the request being submitted to the Vice President for Research for review:

- Requests from an academic unit(s) on the West Lafayette campus must have approval by the department/school head and dean.
- Requests for college/school-based centers must have approval by the center director and dean.
- Requests originating from centers reporting to the Office of the Vice President for Research must have approval by the center director. Research Faculty appointed in Discovery Park additionally must have the approval of the Executive Director of Discovery Park.
- Requests from a regional campus must have approval by the Vice Chancellor for Academic Affairs. Each Vice Chancellor for Academic Affairs may determine what approvals are required prior to the request being submitted to him or her for review.

II. Candidate Search
A. Once all authorizations outlined in Section I.B above have been obtained for the establishment of a Research Faculty position(s), the dean or center director may authorize a search. It is the responsibility of the dean or center director to ensure that appropriate funding exists to support the Research Faculty position. The normal search and screen processes in place for tenure-track and tenured faculty hires will be used for Research Faculty hires. Procedures to obtain a search waiver are described in the “Guidelines for Research Faculty Appointments.”
B. If a non-degree granting unit (center) wishes to establish a formal relationship with a degree granting, academic unit(s) for a particular Research Faculty appointment in their center, the request should be initiated by the center’s director at the beginning of the search process so the academic unit(s) may participate in that process. When such relationships are established, all fiscal responsibility for individuals holding a Research Faculty Center/Department classification remains with the center in which the individual is appointed.

C. Review of Research Faculty candidates for hiring (and promotion) will be conducted with the same rigor accorded that within the tenure-track ranks. Research Faculty members will be hired at a rank commensurate with their professional experience and qualifications and in accordance with the following (in addition to the guidelines established by the college/school/center):

- **Assistant Research Professor**: Candidates for appointment to this rank must exhibit significant promise for the establishment of an independent, nationally recognized research program, which contributes to the discovery mission of the University.

- **Associate Research Professor**: Candidates for appointment to this rank must have a significant and sustained record of independent, scholarly accomplishment and externally funded research. The candidate additionally must show promise of continued professional growth, national recognition and contribution to the discovery mission of the University.

- **Research Professor**: Candidates for appointment to this rank must be nationally and internationally recognized authorities in their field and have established significant and sustained extramural research funding, which contributes to the discovery mission of the University.

III. **Appointment of Research Faculty**

A. Requests to appoint specific individuals to Research Faculty positions within a unit cannot be made until the authorization to establish such positions has been obtained as outlined in Section I of these Procedures.

B. The following conditions must be met for all Research Faculty appointments:

- Appointments may be either academic year or fiscal year. Part-time appointments are allowed.

- Appointments are renewable and each appointment period may not exceed three years. Renewed appointments are contingent upon availability of funds and satisfactory performance evaluations.

- An incumbent may not hold a tenure-track and a Research Faculty position simultaneously.
• An incumbent may hold Research Faculty appointments in multiple units as long as the appointments do not exceed a total of 100 percent CUL.

• Research Faculty may not be designated as visiting faculty.

C. In general and as appropriate, the prior approval requirements for appointments of tenure-track/tenured faculty apply to appointments of Research Faculty. Prior approval requirements applicable to Research Faculty have been delegated to the Vice President for Research as outlined in the document “Employment Actions Requiring Prior Approval by the Provost.” This document also provides a listing of actions relative to Research Faculty appointments that require prior approval by the Vice President for Research. The appointment date cannot pre-date the final Vice President for Research approval date. Deans, the Executive Director of Discovery Park and center directors who report directly to the Vice President for Research may extend offers to potential Research Faculty hires when prior approval is not required. College/School/Center guidelines for authorization to extend offers also must be followed.

D. A template offer letter for Research Faculty positions is included in the “Guidelines for Research Faculty Appointments.”

IV. Review and Promotion

A. Annual Merit Review
Research Faculty are eligible for annual merit increases in accordance with the University’s and each campus’s annual salary policies. Determination of merit increases will be based on the annual merit review. Research Faculty appointed in an academic department will undergo annual merit reviews in the same timeframe and following the same procedures and processes that are used for the annual merit reviews of tenure-track and tenured faculty in that department. Research faculty appointed in college/school-based centers will undergo the annual merit review following procedures established in the appointing college/school. Research Faculty appointed in centers reporting to the Office of the Vice President for Research will be reviewed by the Office of the Vice President for Research following receipt of recommendations by the hiring unit.

B. Promotion Review
Research Faculty are not subject to the probationary periods that are applicable to tenure-track faculty. Nevertheless, like tenure-track and tenured faculty, Research Faculty are eligible for promotion in rank from assistant research professor to associate research professor to research professor. Appointments less than 50 percent CUL and Short-Term Appointments are not eligible for promotion in rank. Criteria for promotion will be similar to that for tenure-track and tenured faculty, but with much greater or singular focus on research accomplishment. The guidelines and requirements outlined by the unit when the position was established (Section I.B) also will be referenced for promotion reviews.

Recommendations for changes in rank will be considered during the normal fall and
spring semester faculty promotion cycle in accordance with guidelines issued annually by the Provost. A promotion review for Research Faculty must occur at least every five years. Five-year reviews can result in dismissal, retention in rank or promotion in rank.

Research Faculty appointed in an academic department will be reviewed for promotion by the Primary Committee and the Area Committee, with the addition of one or more Research Faculty to each committee as appropriate. Research Faculty appointed in a unit other than an academic department will be assigned either to a department-based Primary Committee for review or to ad hoc Primary and Area Committees appointed by the Vice President for Research. In the latter case, the Area Committee will consist of five members appointed by the Vice President for Research.

On the West Lafayette campus, Panel C will review all Research Faculty promotion candidates submitted to it by Area Committees. On the regional campuses, the Area Committees will forward promotion candidates to the Chancellor for review. The Chancellor will forward all approved candidates to the Vice President for Research for review and final approval. The Vice President for Research will take all Research Faculty promotion recommendations to the Board of Trustees for ratification.

V. **Temporary Reductions in Funding**
When grant funding ends prior to the availability of anticipated new funding, the appointing unit may continue the employment of the Research Faculty member and provide salary support from departmental/center resources, including gift and general funds, for a bridging period of up to six months. This bridging provision is intended to be available after periods of significant extramural funding. Initial appointments are not eligible for bridge funding. Any commitment of salary support in the case of unanticipated loss of project funds will be the responsibility of the hiring unit.

**RELATED DOCUMENTS, FORMS AND TOOLS**

Frequently Asked Questions: [hyperlink]
Guidelines for Research Faculty Appointments: [hyperlink]

“Employment Actions Requiring Prior Approval by the Provost:”

University Senate Document 04-4 as Amended and Approved January 24, 2005: [www2.itap.purdue.edu/faculty/documents/04-4.pdf](http://www2.itap.purdue.edu/faculty/documents/04-4.pdf)

Related University Policies (not exhaustive):

- Appointments of Distinguished Professors, Named University Professors, Named Professors, and University Faculty Scholars (IV.5.2):
www.purdue.edu/policies/pages/human_resources/iv_5_2.html

- Effort Reporting (II.5.1): www.purdue.edu/policies/pages/finances/ii_5_1.shtml

- Intellectual Property (VIII.4.1):
  www.purdue.edu/policies/pages/teach_res_outreach/viii.4.1.htm

- Leave of Absence Policies for Faculty, Continuing Lecturers, and Administrative, Professional, Clerical, and Service Staff (IV.10.2):
  www.purdue.edu/policies/pages/human_resources/iv_10_2.html

- Principles and Policies for Academic Freedom, Responsibilities and Tenure, and Procedures for Termination of Faculty Appointments for Cause (Executive Memorandum No. B-48):

- Special Merit Pay (IV.5.4): www.purdue.edu/policies/pages/human_resources/iv_5_4.html


HISTORY AND UPDATES

[Date TBD]: This policy combines and revises: 1) University Senate Document 04-4, and 2) “Research Faculty Implementation Guidelines” issued July 25, 2005, by the Office of the Vice President for Research.

APPENDIX

There are no appendices to this policy.
November 2011

Policy and Revised Guidelines for Research Faculty

Frequently Asked Questions

Who is eligible to appoint Research Faculty?

Academic units, university approved college/school-based centers, university approved centers reporting to the Office of the Vice President for Research or Vice Chancellor at regional campuses, who have obtained Authorization to Establish Research Faculty Positions.

Do research faculty have to be appointed for 3 years?

No. Three (3) years is the maximum length of the contract period. Research Faculty can be appointed on a yearly basis or for any time interval up to 3 years. Research faculty appointed for less than one semester are not eligible for benefits.

What are the differences between research faculty and research scientists/associates?

The Research Faculty position is distinguished from the Research Scientist/Research Associate position by being a professorial level position with an expectation of scientific independence and national and international distinction. Whereas a Research Scientist/Research Associate is expected to make significant and innovative contributions to a research project, activity or facility, Research Faculty are expected to lead such projects and activities.

How is independence defined for Research Faculty?

Independence can be demonstrated in a variety of ways that may include, but is not limited to, serving as the Principal Investigator of externally funded research projects, serving as the Principal Investigator of sub-projects on large-scale interdisciplinary projects/centers, mentoring of postdoctoral research fellows and graduate students, and freedom to publish independently of senior faculty members.

For Research Faculty appointed in non-degree granting units (e.g., Discovery Park Centers), what does a departmental affiliation mean and how is it obtained?

It may be desirable for Research Faculty appointed in non-degree granting units such as Discovery Park Centers to be affiliated with an academic unit(s). Affiliation with an academic department(s) provides access to departmental graduate students and the ability to serve as the major professor to those graduate students consistent with the departmental policies for tenure-track and tenured faculty. Research Faculty who do not have academic affiliations can serve on graduate advisory committees, and co-mentor graduate students, but may not serve as sole supervisors for graduate students.

Seeking an affiliation with an academic unit is the responsibility of the center appointing the Research Faculty member. It is desirable that the department be involved in the review and selection of the
Research Faculty candidate and that the departmental affiliation is established at the time of the initial appointment. The academic unit will determine whether or not an affiliation is granted. Research Faculty appointed in a non-degree granting unit and affiliated with a degree-granting department will be classified as Research Faculty Center/Department.

Fiscal responsibility for Research Faculty appointed in non-degree granting units and affiliated with academic units resides in the appointing unit. Departments have no fiscal responsibilities for Research Faculty affiliated with, but not appointed in the department.

Departments may wish to establish policies for individuals holding a Research Faculty Center/Department classification. Such policies must be consistent with the University Research Faculty Appointment and Promotion Policies document.

Are Research Faculty allowed to teach?

Yes. Although Research Faculty do not have regular teaching duties and teaching is not a merit criterion for promotion, it is recognized that instances may occur when temporary, specialized teaching responsibilities are desirable to expose students, especially graduate students to specialized, technical expertise. In these instances, it may be appropriate for Research Faculty to offer limited, specialized mini-courses, workshops or a limited lecture/laboratory series.

Are Research Faculty required to be exclusively supported by extramural funds?

No. While it is necessary for Research Faculty to be supported primarily on extramural funds to fulfill the mission of advancing the research enterprise at Purdue University, it is recognized that proposal writing, graduates student committee service and related activities are not an allowed effort on extramural funds supporting specific projects. It is also recognized that Research Faculty may direct specialized research core facilities that may contribute partial salary support. Therefore appointing units may at their discretion provide partial salary support, not to exceed 25% of the total annual compensation, for each Research Faculty position from unrestricted internal sources including gift funds, general funds, and research core facilities.

What are part-time appointments?

Part-time appointments are defined as less than 100% CUL. Research Faculty may be initially appointed as part-time or a part-time appointment may result from a reduction in funding of a full time appointment. Research Faculty may not simultaneously hold tenured or tenure-track appointments. Research Faculty holding part-time appointments are subject to the same standards for promotion in rank as Research Faculty holding full time appointments.

What internal funding programs are available for Research Faculty?

Research Faculty are eligible to apply for competitive grants from trusts and research awards administered by the Office of the Vice President for Research (e.g., the Clifford B. Kinley Trust, Ralph W. Grace M. Showalter Research Trust, the Herbert Newby McCoy Award). Their eligibility to apply for other internal funding (e.g., PRF grants) and unit specific awards is determined by the policies established by the college/school/center in which they hold their appointment.
RESEARCH FACULTY IMPLEMENTATION GUIDELINES

INTRODUCTION

In January 2005, the University Faculty Senate passed University Senate Document 04-4 as Amended and Approved January 24, 2005 (reference http://www2.itap.purdue.edu/faculty/documents/04-4.pdf). In response to the changing research environment and evolving discovery mission of the University, this document, titled “Proposal for Non-Tenure Track Research Faculty within Purdue University” established the employment classification of Research Faculty. As current research initiatives are often focused on interdisciplinary projects including multi-discipline and multi-institution participation, often with significant sponsored funding support, it had become apparent that full-time research specialists are needed to support these types of programs. The new non-tenure track faculty classification of “research faculty” is expected to meet this need by assisting the university in recruiting and retaining top research scholars whose primary responsibilities will be to support and enhance the discovery mission of the university. These guidelines are intended to help academic units address the many issues involved in the appointment of research faculty and the implementation of this new faculty classification at Purdue, including at the regional campuses.

The Research Faculty classification is available for appointments effective August 1, 2005 for fiscal year appointments and August 15, 2005 for academic year appointments.

AUTHORIZATION TO ESTABLISH RESEARCH FACULTY POSITIONS

Requests for the establishment of research faculty positions must originate within an academic unit or center. Colleges/Schools may desire to establish a uniform set of standards for research faculty positions in all departments within the college/school where such an approach is appropriate. Requests from a unit(s) must have approval by the Department/School Head, School/College Dean and Vice President for Research. Requests for School/College-based centers must have approval by the Center Director, Dean, and Vice President for Research. Requests originating from a multidisciplinary center must have Center Director and Vice President for Research approval. Requests from a regional campus must have approval by the Vice Chancellor for Academic Affairs and the Vice President for Research; approvals required prior to the Vice Chancellor will be determined by each campus.

Each unit’s guidelines and requirements for research faculty must be consistent with the overall university guidelines for establishment of research faculty positions as approved by the University Senate. Units interested in establishing research faculty positions should document the following aspects of the research faculty positions as appropriate to their unit:

- General requirements for appointment to the research faculty (educational background, professional expertise, etc.)
- Guidelines for annual review, reappointment, and promotion
- Unit voting privileges
- Other unit specific guidelines or considerations
Requests to appoint specific individuals to research faculty positions within a unit cannot be made until the overall authorization to have such positions is in place. This approval must be obtained before an offer is made. Exceptions to this policy must be approved by the Vice President for Research.

SEARCH PROCESS – AFFIRMATIVE ACTION OFFICE GUIDELINES

Once approval has been obtained from the Vice President for Research to establish research faculty positions in a college/school/center, the Dean or Center Director may authorize a search or search waiver request. It is the responsibility of the Dean or Center Director to ensure that appropriate funding exists to support the research faculty position.

Research faculty hires should follow the normal search and screen processes in place for tenure/tenure track faculty hires. However, during this transitional period of implementation of the research faculty classification, it is possible that research faculty hires will be desired from among current university staff. Similarly, the creation of a specific research faculty position may be associated with specific extramural funding, and the participation of a specific individual. In these cases, requests to appoint specific individuals to research faculty positions that are not the result of a competitive search should be made to the Director of the Affirmative Action Office (AAO), prior to any commitments being made to a specified candidate. AAO has provided a search waiver form for requesting the appointment of a specific individual (Attachment A). The search waiver request requires a description of the responsibilities of the position, a description of the source(s) of funding used to support the position, and an explanation for why the individual should be appointed to the position without conducting a competitive search. This form can be found at http://www.purdue.edu/humanrel/contribute_pdf_docs/1search_screen_research.pdf. The search waiver form requires approval from the Director of AAO and the Vice President for Research. Authorization for searches and search waivers at a regional campus will be handled by the Affirmative Action Officer at the individual campus.

APPROVAL REQUIREMENTS FOR APPOINTMENTS

Requests to appoint specific individuals to research faculty positions within a unit cannot be made until the overall authorization to have such positions is in place. This approval must be obtained before an offer is made. (See section AUTHORIZATION TO ESTABLISH RESEARCH FACULTY POSITIONS).

In general and as appropriate, the prior approval requirements for regular faculty apply to research faculty. Prior approval requirements applicable to research faculty have been delegated by the Provost to the Vice President for Research. Refer to the current document entitled “Employment Actions Requiring Prior Approval by the Provost” http://www.purdue.edu/provost/shtml/business_g_f.shtml which incorporates this delegation and provides a listing of actions requiring prior approval by the VPR for research faculty appointments.
Deans and Center Directors may extend offers to potential research faculty hires when prior approval is not required. Actions requiring prior approval should be routed to the Vice President for Research. School/College/Center guidelines should be followed for authorization and approvals to extend offers.

OFFER LETTER

A template offer letter for research faculty positions is included in Attachment B.

ACADEMIC CHARACTERISTICS

Academic Rank
Research faculty will be appointed with academic rank equivalent to tenure-track faculty, i.e., assistant professor, associate professor or full professor. The faculty rank of “instructor” is not available for research faculty. Advancement through the academic ranks will be via the academic review process outlined in the Promotion section and as further defined by each unit in its appointment authorization document approved by the Vice President for Research. Research faculty members should be hired at a rank commensurate with their professional experience and qualifications. These qualifications should be comparable to the research credentials of tenure/tenure track faculty at the same rank. The University Senate Document 04-4 provides descriptions of the qualifications for each of the faculty ranks.

Descriptions of Research Personnel Classifications
The following definitions are provided for the purpose of determining the appropriate hiring status for research personnel:

Research Faculty:
Researchers with outstanding research credentials, similar to research credentials of tenure track faculty at similar rank, who are not tenured or tenure track, are paid on soft (non-general) funds, and carry no teaching duties other than the supervision of graduate students; qualified to develop and lead an independent research program; a Ph.D. or appropriate terminal degree in the field of research is expected.

Research Associate/Research Scientist:
Researchers who work collaboratively with academic or research faculty members; typically do not have the qualifications to become a faculty member and do not write independent grant proposals.

Post-Doctoral Research Associate:
A scholar or researcher who is temporarily undergoing academic study or training beyond the level of a doctoral degree, and is supervised/mentored by a faculty member.

Tenure
Research faculty are not eligible for tenure and their employment contract and university position code must indicate non-tenure track.

Visiting Faculty Status
The designation of “visiting” is not an appropriate classification for research faculty.

**Teaching Responsibilities**
The primary responsibilities of research faculty would be research and research-related activities such as proposal writing, project management, and service specifically linked to their research programs (e.g. supervision of graduate students). Research faculty may not have regular teaching duties except on an ad-hoc basis. In rare cases where a research faculty member is considered for a teaching assignment, a separate part-time teaching appointment is required. Long-term or ongoing teaching assignments will not be approved. Prior approval will be required from the Provost to allow teaching appointments.

**Committees**
Research faculty may not be elected to the University Senate and are not eligible to serve on promotion and tenure committees with the exception of Panel C, as described in the University Senate Document 04-4.

**Voting**
The unit in which the research faculty member has his/her primary appointment will decide other voting privileges not addressed in the Senate Document 04-4.

**Review and Promotion**
The review and promotion process for research faculty should follow the guidelines outlined in the University Senate Document 04-4. While research faculty may be considered for promotion in rank, they are not subject to probationary periods like tenure-track faculty. However, the policy requires a review at least every five years for retention in rank or for promotion.

Criteria for promotion shall be similar to that for tenure-track faculty, but with much greater or singular focus on research accomplishment. Additional information is provided in the Senate Document concerning the review process and as outlined in each unit’s authorized document.

Salary supplements for promotion should be consistent with those associated with promotion for tenure-track faculty. These amounts are determined and published during the University’s annual operating budget process. The promotion increment must be provided from the same funding source as the base salary. Appointments less than 0.5 FTE and short-term appointments will not be eligible for promotion in rank.

Research faculty will be subject to annual merit increases in accordance with the university’s annual salary policy. The employing department will conduct an annual merit review of all research faculty similar to and within the same timeframe as the regular annual reviews of tenure track faculty and other university employees. Annual merit increases must be paid from the same funding source as the base salary.

**Distinguished or Named Status**
Distinguished or named status for research faculty is subject to the same policies and review and approval processes applied to distinguished and named academic faculty (reference University Policy IV.5.2 “Appointments of Distinguished Professors, Named University Professors, Named Professors and University Faculty Scholars”). Such titles may only be conferred when a substantial endowment exists to support the position. Discretionary allocations and salary supplements are allowable in accordance with university policy (reference IV.5.3 “Discretionary
Emeritus Status
Research faculty are eligible for emeritus status, subject to the same eligibility criteria as for tenure-track faculty. These criteria provide emeritus status to faculty members holding professorial rank (assistant, associate, full) at the time of their retirement and who have had a period of ten years continuous full-time service at Purdue University immediately preceding their retirement. During the first semester of the academic year in which an individual retires, the Dean of the college/school must submit the name of the faculty member to the Committee on Faculty Promotions. Time spent on Voluntary Early Partial Retirement will count toward the years of continuous service.

FISCAL AND EMPLOYMENT CHARACTERISTICS

Employment
Except as noted, research faculty are subject to the policies, procedures, guidelines and regulations governing tenure track faculty, including, but not limited to Executive Memorandum B-4 Political Activities; Executive Memorandum B-10 Policy on Intellectual Property; Executive Memorandum B-48 Principles and Policies for Academic Freedom, Responsibilities and Tenure, and Procedures for Termination of Faculty Appointments for Cause; and University Policy IV.10.2 Leave for Faculty, Continuing Lecturers, Administrative and Professional, Clerical and Service Staff.

An individual holding a faculty or staff appointment at the university may apply for a research faculty position and will be subject to university search and screen policies in effect at the time of application. Research faculty may be members of the graduate faculty and supervise graduate students, subject to the policies and procedures of the Graduate School. The same policies apply to research faculty seeking tenure-track positions. Time in non-tenured rank will not count toward sabbatical or the probationary tenure period if subsequently hired into a tenure-track position. Individuals may not hold tenure-track and research faculty positions simultaneously. Research faculty are to be conferred the same protections of academic freedom available to tenure-track faculty for the entire terms of their contracts.

Appointments
Appointments may be calendar year or academic year. Part-time appointments are allowable. Appointments of 0.5 FTE or greater will be eligible for benefits. Short-term appointments will not be eligible for benefits. Short-term appointments are defined as any appointments of less than one semester (academic year) or less than five months (fiscal year) regardless of FTE. One incumbent may hold research faculty appointments in multiple units as long as the appointments do not exceed a total of 1.0 FTE.

Appointment Duration
Research faculty are appointed by a department or research unit for renewable terms not to exceed three years each. Continued appointments are contingent upon availability of funds and satisfactory performance evaluations.
Position Code
The position code should follow the format of “x2RxFxx” as explained below:

1st Digit: Voting (2 = not eligible for voting)
2nd Digit: Tenure Status (2 = not eligible for tenure)
3rd Digit: Type of Appointment (R = Research Faculty)
4th Digit: Rank (same as tenure track faculty)
5th Digit: Staff (F = Faculty)
6th & 7th Digits: Term (10 = AY; 12 = FY)

(Example: 22R4F10 = Academic Year Research Assistant Professor)

Employment Contract
A Form 19 (Appointment to the Faculty) is processed to initiate or extend a research faculty appointment. The term of employment contracts for new appointments or extension of appointments cannot be for more than three (3) year intervals.
The Form 19 should indicate the following:

- The period of appointment will include the appointment dates and should be marked “Ends” Signifies Termination Without Further Notice. The Form 19 will serve as both the appointment form and the termination notice.
- A Form 19E – Notice of Non-renewal of Contract will not be needed.
- The Faculty Tenure Status must indicate b) Not eligible for Tenure.
- The offer letter should be referenced on the contract, indicating the date of offer letter.

Contract dates will be entered into the Human Resources Contract Warning System and be reflected in PEDB (Personnel Database). Human Resources will receive a report the first of each month which will include contracts that are ending that particular month. The report will be sent to the College/School Business Office for review and action. In situations involving continuing appointments, a contract extension must be processed. In situations where appointments will not be continuing, a monthly payroll change – Form 10 and a HR Form 4 – Report of Termination of Employment, must be processed if all University employment is terminating.

Salaries
Salary levels for research faculty are expected to fall within the range for tenure/tenure track faculty in the discipline. The prevailing wage established by EEO applies to research faculty similar to tenure/tenure track faculty.

Funding
Research faculty are expected to be fully supported (salaries, including all supplemental payments, and fringe benefits) on extramural or non-general funds for their appointment period. General funds include 010, 012, 014, 018, 019, 060, 070, 090, and 120 funds. Research faculty appointments thus cannot be charged to these funds nor to any other general fund categories that may be subsequently established. Continued employment will be dependent upon the availability of extramural or non-general funding as well as performance. The appointment cannot extend beyond the period of availability of supporting funds. If the position cannot be supported at the approved level because of insufficient funds, the appointment will be terminated.
when funds are exhausted or the effort will be reduced to a level consistent with the salary that can be paid. Any commitment of salary support in the case of unanticipated loss of project funds will be the responsibility of the hiring unit. Bridge funding from general funds may be used for a period up to six months.

**Bridge Funding**
When grant funding ends prior to the availability of anticipated new funding, the employing unit may continue the employment of the research faculty member and provide salary support from departmental resources, including general funds, for a bridging period of up to six months. In general, the bridging provision is intended to be available after periods of significant extramural funding. Initial appointments are not eligible for bridge funding.

**Special Merit Pay**
Research faculty will be eligible for special merit pay in accordance with university policy on these payments (reference University Policy IV.5.4 “Special Merit Pay”). As stated in the University Policy, special merit pay cannot be charged to federal funds. Therefore, special merit pay for research faculty whose salaries are paid from federal funds must be charged to non-federal or non-general funds (see Funding section for further information on allowable funds).

**Summer Support**
National Science Foundation:
For research faculty on academic year appointments funded by NSF, summer salary cannot exceed 2/9ths of their regular academic year salary. This limit includes summer salary received from all NSF funded grants.

Other Sponsors:
For research faculty on academic year appointments funded by sponsors other than NSF, the allowable limits of summer support on these grants must be verified. If the sponsor does not limit summer support, university policy allows support up to a maximum of twelve weeks or 30% of the academic year salary.

**Benefits**
Research faculty with appointments of 0.5 FTE or greater are eligible for the same employment benefits as regular faculty with the exception of sabbatical leaves and paid leave for outside activities. Appointments that are less than 0.5 FTE will not be eligible for benefits.

Short-term appointments are not eligible for benefits. Short-term appointments are defined as any appointments of less than one semester (academic year) or less than five months (fiscal year) regardless of FTE.

**Leaves**
Research faculty are eligible for all leaves of absence provided to faculty by university policy, with the exception of sabbatical leave and paid leave for outside activities. They are not eligible for sabbatical or outside activity leaves.

Research leaves must be paid from non-general funds regardless of the leave period. Long term paid leaves greater than ten days, with the exception of research leave, cannot be charged to a sponsored program and must be charged to departmental funds. This includes general, auxiliary
or gift funds. Leaves of absence of 10 working days or less can be charged to the same extramural funding source as the salary.

**Outside Activities**
Outside activities must be approved on President’s Office Form 32A “Application for Permission to Engage in an Outside Activity and/or Disclosure of Potential Conflict of Interest.” Any outside activities by research faculty must be pursued during non-work hours, normally considered as weekends, evenings or vacation time. As noted in the Leaves section, research faculty are not eligible for paid leaves for outside activities.

**Fringe Benefit Chargeability**
Charging of fringe benefits including employer payments for Social Security, Medicare/Medicaid, Retirement, Group Life Insurance, Long Term Disability, Medical Insurance, Staff Fee Remissions must be charged to the same funding source supporting the salary. Vacation, holidays, military leave and the first ten days of sick leave will be charged consistently as with other faculty appointments.

**Terminal Vacation**
Vacation pay upon termination of a research faculty position may be allocable as a direct cost to extramural source, depending on the specific circumstances at termination. A determination should be made as to whether the vacation pay was accrued on the projects to be charged prior to the certification and distribution of the payroll. If the vacation pay was accrued on the project, it is an allowable charge to the project. If it was not, an alternate allowable funding source will be required.

**Prospective Employee Expenses and Moving Costs**
Travel expenses for prospective research faculty may be charged to an extramural funding source when allocable.

Moving allowances or reimbursements for new research faculty positions will be allowable as a direct charge to the extramural accounts funding the salary. Where multiple extramural accounts are involved, the moving expenses should be prorated across all accounts funding the position.

When moving costs are charged to federal funds and the funding sources of the appointment change during the first 12 months, the allocation of the moving costs must be revised to be consistent with the distribution of effort for the first 12 months of employment.

When a moving allowance/reimbursement is paid to an employee from federal sponsored program funds and the employee resigns for reasons within their control within 12 months after hire, the institution will be required to refund or credit such moving costs to the federal government. Moving allowance charges in these instances should be reallocated to general or other unrestricted funds. Departments may seek reimbursement of the moving allowance/reimbursement from the individual if the offer letter contains language indicating the individual’s liability if they resign within 12 months.

**Effort Reporting**
Compensation on extramural funds will require certification of effort based on the academic term consistent with other faculty positions. As it is not acceptable to charge one grant for effort
related to another grant, faculty should be kept abreast of funding on grants supporting these positions to allow for adjustment of effort in advance of funding limitations.

**Budget**

Research Faculty continuing as employees of the University from one fiscal year to the next should be budgeted on the annual operating budget for their college/school. Their salaries should be distributed on the appropriate funds based on an estimate of how they will be paid.

Research Faculty will be eligible for annual merit salary increases as governed by the salary policy for their respective campus. Salary increases for the Research Faculty classification will be averaged with tenure/tenure track and clinical/professional faculty salary increases. These increases will be effective on July 1 for fiscal year appointees and with the start of the academic year for academic year appointees.

Research Faculty promoted to a higher academic rank will be eligible for the same promotion increment as other tenure/tenure track faculty positions. These promotion increments are set annually as part of the annual budget process. Since Research Faculty are funded from non-general funds, the promotion increments will not be centrally funded. The promotion increments will be charged to the same accounts as the salary of the research faculty member.
REPORTING AND DATA

Research Faculty will have a unique detailed position code (see Position Code section) in the system and reporting files, including IDN workforce and DSS Warehouse files. This will allow research faculty to be reported appropriately, depending on the definition of the intended report.

REFERENCE SOURCES

Questions concerning the following topics related to research faculty appointments should be addressed to the following:

<table>
<thead>
<tr>
<th>Topic</th>
<th>Contact</th>
<th>Phone</th>
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<tbody>
<tr>
<td>Authorization to Establish Positions</td>
<td>Office of VP for Research</td>
<td>765-49-48097</td>
</tr>
<tr>
<td>Approval Requirements</td>
<td>Office of VP for Research</td>
<td>765-49-48097</td>
</tr>
<tr>
<td>Search and Search Waivers</td>
<td>Affirmative Action Office</td>
<td>765-49-47253</td>
</tr>
<tr>
<td>Contracts &amp; Contract Renewals</td>
<td>Human Resource Services</td>
<td>765-49-47137</td>
</tr>
<tr>
<td>Benefits</td>
<td>Staff Benefits</td>
<td>765-49-47723</td>
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<tr>
<td>Leaves</td>
<td>Human Resource Services</td>
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<th>Topic</th>
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<tr>
<td>Academic Issues:</td>
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<tr>
<td>General</td>
<td>Office of VP for Research</td>
<td>765-49-43996</td>
</tr>
<tr>
<td>West Lafayette</td>
<td>Office of VP for Research</td>
<td>765-49-43996</td>
</tr>
<tr>
<td>Calumet</td>
<td>VC for Academic Affairs</td>
<td>219-989-2581</td>
</tr>
<tr>
<td>Fort Wayne</td>
<td>VC for Academic Affairs</td>
<td>219-481-6116</td>
</tr>
<tr>
<td>North Central</td>
<td>VC for Academic Affairs</td>
<td>219-785-5201</td>
</tr>
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</table>
Sample Offer Letter for Research Faculty Position

On behalf of (Dean/Center Director), it is my pleasure to extend to you an offer for the position of Research (Assistant Professor/Associate Professor/Professor) in the (Department/Unit). This appointment is subject to approval by the Provost of Purdue University. In your case, we have every reason to believe that such actions will be forthcoming.

Your initial appointment will be for the period (start date – end date) and is contingent upon the continued availability of research funding. Continuation of this appointment beyond (end date) is possible, contingent upon availability of funds and satisfactory performance. Your initial full-time (academic year or fiscal year) salary will be ($           ) and will be reviewed annually. This appointment is without tenure/not tenure-track.

For academic year appointments: You also have the opportunity to augment your salary in the summer up to 30% from research grants which could bring your initial annual salary to ($       ).

For offers at rank below Professor and .50FTE or greater: You may be considered for promotion in rank. Advancement through the academic ranks will be via the academic review process outlined by the (academic department or center) and based upon research accomplishment.

Your responsibilities will include (position specific duties).

For positions .50 FTE or greater: In addition to salary, Purdue University provides a very attractive fringe benefit package that includes generous retirement benefits as well as medical, disability, and life insurance. The current TIAA-CREF benefits that Purdue provides, which are immediately and fully vested and require no contribution from you, are equal in amount to 11% of the first $9,000 of your salary and then 15% of all salary above this amount. The other fringe benefits, including medical, disability, and life insurance are of high quality. The University Faculty and Staff Handbook provides a more complete description of employee benefits and can be accessed on the web via the following link: http://www.purdue.edu/oop/faculty_staff_handbook/index.html.

Moving allowance if applicable: In order to assist you with your move to Purdue, you will be provided a moving allowance of ($     ). This lump-sum payment represents taxable income and taxes will be withheld from the payment. If these funds are used for qualified moving expenses per current Internal Revenue Service guidelines, income taxes withheld may be recovered on your tax return. Please consult your tax advisor. The procedures and available discount options associated with this allowance will be sent to you under separate cover once an acceptance has been received. Should you elect to voluntarily resign your position within 12 months of your hire date, you may be required to refund this moving allowance to the university.

Please indicate your acceptance of this offer by returning a signed copy of this letter by (Date response required).
Research Faculty Policy and Revised Guidelines

Background and Summary of Changes

A faculty Working Group was convened in the spring of 2010 by the Vice President for Research to review the “Research Faculty Implementation Guidelines” that were issued by the Office of the Vice President for Research in 2005. These guidelines were developed in response to University Senate Document 04-4 that defined the position of Research Faculty at Purdue University in January of 2005. After interviewing personnel (department heads/center directors/graduate school associate dean) that were directly involved in the appointment/promotion of research faculty and the thirty-two research faculty themselves, the Working Group made suggestions for revisions to the original guidelines. These revisions are reflected in the draft university policy for “Research Faculty Appointment and Promotion” and the revised “Guidelines for Research Faculty”.

The most significant changes concern the sources of funds eligible to support research faculty and the opportunity for research faculty appointed in non-degree granting units (e.g., interdisciplinary centers) to mentor graduate students. The original guidelines prohibited the use of internal Purdue funds to support research faculty. While it is necessary that research faculty be supported primarily by external funds, it is also recognized that certain activities (proposal writing, graduate student mentorship) cannot be charged to federal awards that support specific research projects. Therefore, the new policy allows the use of unrestricted internal funds (e.g., gift and general funds) for the partial support of research faculty. The new policy creates the opportunity for research faculty appointed in non-academic units to affiliate with an academic unit and serve as a mentor to graduate students in that unit.

Three draft documents relating to the appointment and promotion of Research Faculty were distributed on the West Lafayette and regional campuses for review and comment in early 2011: 1) the new policy for “Research Faculty Appointment and Promotion”; 2) a revised “Guidelines for Research Faculty”; and 3) “Frequently Asked Questions”. The draft University Policy for “Research Faculty Appointment and Promotion” and the revised “Guidelines for Research Faculty” documents were initially presented for information to the University Senate Faculty Affairs Committee (FAC) at its January 10, 2011. During the spring of 2011, the documents were formally presented to the FAC with a request for endorsement. The Chair of the Research Faculty Working Group met frequently with the FAC discussing the documents and listening to comments and concerns. As a result of those discussions, the documents were re-revised as requested by the FAC. The most significant revision placed a cap on the amount of internal, unrestricted Purdue funds (gift or general funds) that could be applied to the compensation for Research Faculty. At a special FAC meeting on September 19, 2011 devoted to the Research Faculty documents, the FAC voted to endorse the re-revised draft policy for “Research Faculty Appointment and Promotion” and the re-revised “Guidelines for Research Faculty”. The endorsed, revised “Research Faculty Appointment and Promotion” policy (Senate Document 11-1) was presented to the University Senate Steering Committee for presentation to the University Senate. The Steering Committee requested a change in format for Senate Document 11-1 and the newly formatted version was formally approved for endorsement by the FAC on November 7, 2011 and re-presented to Steering Committee.
To: The University Senate  
From: Faculty Affairs Committee  
Subject: Proposal for Non-Tenure Track Research Faculty within Purdue University  
Disposition: University Senate for Discussion

INTRODUCTION

The research enterprise at Purdue University is facing significant challenges arising from changes in its environment, including increased competitiveness for external research funding, the need for strategic partnering with industry, and a greater focus and reliance on interdisciplinary efforts and multi-disciplinary proposals. Large multi-year multi-investigator research programs in particular require full-time senior-level personnel to provide continuity and a high level of uninterrupted research time. The same need for full-time attention also frequently occurs during preparation of proposals for large projects. Additionally, units which have major research projects requiring highly qualified full-time research specialists find it increasingly difficult to recruit and retain personnel in these positions due to the lack of a well-defined career ladder and corresponding reward system.

Many of our successful peer institutions have met these needs through the use of Research Professors. In most cases, these are senior researchers with outstanding research credentials who are not tenured or tenure track, are paid on soft (non-general) funds, and carry no teaching duties other than the supervision of graduate students. They are expected to be productive, independent investigators and are evaluated primarily on the basis of their scholarly achievements.

This document proposes the creation of a non-tenure track faculty appointment designated as “research professor”. This track will enable the university to recruit and retain top research scholars whose primary responsibilities will be to support and enhance the discovery mission of the university. These positions would (1) not be eligible for tenure, (2) be employed entirely on non-general (soft) funds, and (3) be continued depending upon the availability of soft funding and on performance.

PRINCIPLES

Non-tenured research faculty shall:

1. engage in activities which support the academic and scholarly life of the university, and particularly those which enhance the discovery mission of the university

2. possess the appropriate educational background and professional expertise to engage in research and research-related activities

3. participate in activities which enhance professional growth
4. have an opportunity to be considered for promotion in rank from assistant to associate to (full) research professor

5. possess scholarly research credentials comparable to those of tenured and tenure-track faculty at the same academic rank

6. be considered members of the university faculty

7. be compensated at salary levels roughly equivalent to those for tenure-track faculty at the same rank and in the same professional area.

RESEARCH FACULTY APPOINTMENTS

A. Research faculty will be supported only from extramural or non-general funds. Fringe benefits are charged to the sponsored account.

B. Appointments may be calendar year, academic year, or part-time. Part-time appointments in general should have at least a 0.5 FTE minimum. Appointments less than 0.5 FTE and short-term appointments will not be eligible for benefits.

Research faculty are appointed by a department or research unit for renewable terms not to exceed three years each, and continued appointments are contingent upon availability of funds and satisfactory performance evaluations. The appointment cannot extend beyond the period of availability of supporting funds. If the position cannot be supported at the approved level because of insufficient funds, the appointment will be terminated when funds are exhausted or the effort will be reduced to a level consistent with the salary that can be paid. Any commitment of salary support in the case of unanticipated loss of project funds will be the responsibility of the hiring unit. Bridge funding from general funds may be used for a period up to six months.

C. Research faculty are hired at a rank commensurate with their professional experience and qualifications. These qualifications should be comparable to the research credentials of tenure/tenure track faculty at the same rank.

D. The hiring unit will conduct an annual merit review of research faculty. The timing of this review will coincide with the regular annual review of tenure track faculty and other university employees. Research faculty will be subject to annual merit increases in accordance with the university’s annual salary policy. The hiring unit must establish guidelines for annual review, reappointment, and promotion prior to hiring research faculty.

E. Research faculty may be considered for promotion in rank. Criteria for promotion shall be similar to that for tenure-track faculty, but with much greater or singular focus on research accomplishment. Salary supplements for promotion should be consistent with those associated with promotion for tenure-
track faculty. The promotion increment must be funded from the same funding source as the base salary. Appointments less than 0.5 FTE and short-term appointments will not be eligible for promotion in rank.

F. The primary responsibilities of research faculty would be research and research-related activities such as proposal writing, project management, and service specifically linked to their research programs (e.g., supervision of graduate students and service to professional organizations). Research faculty may serve as principal investigators on research proposals.

G. Research faculty may be members of the graduate faculty, subject to the policies and procedures of the Graduate School.

H. Research faculty are not eligible for sabbatical leave.

I. An individual holding a faculty or staff appointment at the university may apply for a research faculty position and will be subject to university search and screen policies in effect at the time of application. The same policies apply to research faculty seeking tenure-track positions. Time in non-tenured rank will not count toward sabbatical or the probationary tenure period if subsequently hired into a tenure-track position. Individuals may not hold tenure-track and research faculty positions simultaneously.

J. Research faculty may not be elected to the University Senate and are not eligible to serve on promotion and tenure committees. Other voting privileges of research faculty will be decided by the unit in which they have their primary appointment.

K. Research faculty may not have regular teaching duties except on an ad-hoc basis. In rare cases where a research faculty member is considered for a teaching assignment, a separate part-time teaching appointment is required.

L. Research faculty are eligible for emeritus status, subject to the same eligibility criteria as outlined for tenure-track faculty.

M. Except as noted previously, research faculty are subject to the policies, procedures, guidelines and regulations governing tenure track faculty.

N. Research faculty will be eligible for all leaves of absence provided to faculty by university policy, with the exception of sabbatical leave and paid leave for outside activities.

O. Exceptions to this policy must be approved by the Office of the Provost.
AUTHORIZATION TO ESTABLISH RESEARCH FACULTY POSITIONS

Requests for the establishment of research faculty positions must originate within an academic unit or center. Requests from a department must have approval by the Department Head, School Dean and Vice Provost for Research. Requests from School-based centers must have approval by the center director, Dean, and Vice Provost for Research. Requests originating from a multidisciplinary center must have center director and Vice-Provost for Research approval. The request must be consistent with the guidelines established for research faculty, define the position responsibilities, and describe the source(s) of funding used to support the position. The request shall also include guidelines for performance evaluation and promotion. All approvals must be obtained before an offer is made.

GUIDELINES FOR APPOINTMENT AND PROMOTION

Review of candidates for hiring and promoting research faculty shall be conducted with the same rigor accorded hiring and promoting within the tenure track ranks. Qualifications for the three research faculty ranks are roughly equivalent to those of tenure track ranks, with primary or singular focus on research credentials. The ability to secure external funding does not automatically qualify individuals for research faculty appointments.

**Assistant Research Professor**
Candidates for appointment to the rank of assistant research professor must exhibit significant promise for the establishment of an independent research program and related scholarly endeavors which contribute to the discovery mission of the university.

**Associate Research Professor**
Candidates for appointment to the rank of associate research professor must have a significant and sustained record of scholarly accomplishment and externally funded research. The candidate must show promise of continued professional growth, recognition, and contribution to the discovery mission of the university.

**Research Professor**
Candidates for appointment to the rank of research professor should be recognized nationally or internationally as authorities in their fields of specialization, have established significant and sustained extramural research funding, and have significantly contributed to the discovery mission of the university.

PROMOTION PROCESS

Research faculty are eligible for promotion in rank from assistant research professor to associate research professor to research professor. Recommendations for changes in rank will be considered during the normal fall and spring semester faculty promotion cycle in accordance with guidelines issued annually by the Provost.
Research professors hired by departments will be reviewed for promotion by the departmental primary committee and the school area committee, with the addition of one or more research faculty, as appropriate. Professors hired by a unit other than a department will be assigned to a departmental primary committee for review or to an ad hoc committee appointed by the Vice Provost for Research. The area committee will consist of five members appointed by the Vice Provost for Research.

At the university level, Panel C will review all research faculty promotion candidates. Panel C shall consist of the Provost as chair, the Vice Provost for Research, two academic school deans or associate deans for research from schools employing research faculty, and six faculty members. The Provost shall nominate three of these faculty from Panel A of the University Promotions Committee; the remaining three faculty shall be research professors appointed by the Provost.

Assistant research professor appointments are not subject to the seven-year probationary period applicable to tenure track faculty. Assistant and associate research professors must be reviewed at least every five years for retention in rank or for promotion. During the fifth year, the research faculty member must be informed by the unit administrator that he/she has the right to be reviewed for promotion; it will then be up to the faculty member to request a review.

Approving:    Absent:
A.M. Beck    L.D. Bentley
E. Blackwood J.J. Contreni
S. Broussard S.F. Mason
J. Duzinkiewicz A.C. Sullivan
V.J. Killion J.A. Walcott-McQuigg
G. Lee     Y. Yih
D.R. McMillin
M.T. Morgan
A.C. Rollock
W.J. Zinsmeister
To: The University Senate
From: University Resources Policy Committee
Subject: University Open Access Policy
Disposition: University Senate for Information and Endorsement

The University Resources Policy Committee recommends that Purdue University adopt a policy that advances and supports deposit to the Purdue e-Pubs digital repository all scholarly articles published by Purdue faculty, thereby enabling open access in addition to and beyond the published, citable article.

Respectfully submitted on behalf of the Purdue University Senate Resources Policy Committee,

A. Paul Schwab
Chair, University Resources Policy Committee
Purdue University Senate

Approving:  Disapproving:  Absent:
Michael J. Fosmire  Alphonso V. Diaz
John B. Grutzner  Wei K. Cui
William L. Hoover  Geraldine S. Friedman
Nick King  Richard D. Johnson-Sheehan
Rebecca A. Logsdon  Eric P. Kvam
Douglas C. Nelson  Morris Levy
Joseph W. Rust  Robert E. McMains
A. Paul Schwab  Keith M. Stantz
Louis A. Sherman
Marion T. Trout
In 2003, an international conference, “Conference on Open Access to Knowledge in the Sciences and Humanities,” was held in Berlin under the auspices of the Max Planck Society. From this conference came the Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities. The goal of the declaration is to make scientific and scholarly research more accessible to the broader public by taking full advantage of digital electronic communication. For further information on the Berlin Declaration and the earlier Budapest Open Access Initiative please see:

http://www.berlin9.org/about/declaration/index.shtml and

http://www.soros.org/openaccess

During the past eight years since the Berlin Declaration was promulgated, institutions throughout the world have signed on as signatories and have been actively participating in open access initiatives. Particular commitment to this effort has occurred in Europe, Australia and Canada. The United States on the whole has lagged behind.

Several American universities have taken a lead in advancing open access. Harvard, MIT and Stanford started by establishing author rights statements in which an “addendum” was crafted. This addendum could be submitted by the author with the article, requesting from publishers the right to deposit the published article in an institutional digital repository. Typically the deposit could only happen after an embargo of six to twelve months, variable among publishers, to insure that the publishers would still have a market for their publications and society revenue would be protected. Additionally, the publishers most often did not allow the final PDF version to be deposited in the institutional repository, rather it had to be the final manuscript version submitted by the author. Several years ago, the Committee on Institutional Cooperation (CIC) crafted its own version of the Author’s Rights Addendum. Today nearly all CIC institutions, including Purdue, have adopted the CIC Author’s Rights Addendum (only the University of Chicago has not passed the CIC Author’s Rights Addendum).

http://www.cic.net/Libraries/Library/authorsrights.sflb

Following up on the passage of the Author’s Rights Addendums, several universities then proposed to “encourage or require” their faculty to deposit their publications in the institutional digital research repository. Among the earliest in
2008 were Harvard, MIT, and Stanford School of Education. Links to their open access sites follow:

http://osc.hul.harvard.edu/policies

http://libraries.mit.edu/sites/scholarly/mit-open-access/open-access-at-mit/mit-open-access-policy/

http://ed.stanford.edu/faculty-research/open-archive/oapolicy

The University of Kansas became the first public university to adopt an open access policy on May 22, 2009. KU has been a long time advocate for open access in the scholarly communication arena. Therefore, it was not a surprise when it was the first public university to make this commitment. The link to the KU policy is below:

https://documents.ku.edu/policies/governance/OpenAccess.htm

In September and October of this year, two more prominent universities adopted open access policies: The University of Pennsylvania and Princeton University. Their policies can be retrieved at the following locations:

http://www.upenn.edu/almanac/volumes/v58/n03/openaccess.html


While a philosophical commitment to maximizing access to knowledge motivates these initiatives, especially in publicly-funded land grant institutions, open access policies also have pragmatic benefits in advancing the impact of faculty research. Universities who adopt such policies may gain a competitive advantage, potentially in increasing citations (although this will vary by discipline) and certainly in promoting usage of research beyond the academy and internationally. A recent and balanced study, with a review of literature can be found in the following article:

http://www.fasebj.org/content/early/2011/03/29/fj.11-183988

Members of the Purdue Libraries’ administration and faculty will be presenting the need for deposit of published articles into institutional repositories at the assembled faculty governance leadership meeting of the CIC institutions on October 28th. At that meeting it would be impressive, and would convey a leadership role among the CIC institutions, if Purdue could announce that its University Senate would be considering a motion to deposit faculty publications into Purdue e-Pubs, the institutional repository (http://www.purdue.edu/epubs/) in the November/January timeframe.
To: The University Senate
From: University Senate Educational Policy Committee
Subject: Undergraduate Admissions Policy
Disposition: University Senate for Information and Endorsement

Purdue University-West Lafayette
Rationale for Admissions Policy

A number of factors and requests for clarification and statements have led to the evolution of undergraduate admissions practices over the past decade. These statements and clarifications have been contained in multiple documents and are neither transparent nor widely available to interested and important parties (e.g. faculty, deans, trustees). As Purdue admission has become increasingly competitive and selective, coupled with national attention to admissions practices, it is important to collect and codify the Purdue admissions practices into a policy format.

Below are the events and activities over the past decade that have informed Purdue admissions practice and the contents of this draft policy:

1) The Michigan Supreme Court decision legally affirmed the value of holistic admissions review. Purdue has practiced holistic admission for a number of years and published for prospective students the list of factors used. However, these factors are not currently in any University policy. Purdue plans to apply for membership in the Common Application soon and a criterion for membership is a commitment to holistic review.

2) A need to align Purdue's minimum high school curriculum expectations with Indiana Core 40 and research regarding effects of rigor of high school curricula with college success led to re-evaluation of HS curriculum requirements for each college. Although it has been the practice for the colleges to establish their minimum expectations for freshman and transfer admission, not all colleges have that responsibility codified in their by-laws. This policy clarifies responsibility for these minimum expectations.

3) Because it is faculty who set these minimum expectations, the Provost and the President have requested that a special admissions committee composed of faculty review some cases where students have not met the expectations.

4) Following the University of Illinois admissions scandal of several years ago that involved political influence on admissions decisions, then-Provost Woodson asked for a statement that clarified Purdue's prohibition of third-party influence on admissions decisions and protection of the privacy of applicants. The tenets of that statement are embedded in the draft policy.

5) There has been no public statement of who has the authority to make admissions decisions; this policy clarifies that it is the responsibility of the Admissions Committee under the direction of the Dean of Admissions, further protecting the University from the appearance of third-party influence.

6) Many of our peers, including the Universities of California, Illinois and Michigan, have published admissions policies.

7) Undergraduate admission is a highly visible activity among both internal and external stakeholders. To maintain integrity and consistency as well as provide transparency and
clarity, it is prudent for the University to have its practices and statements in a published policy.

Whereas: The Purdue University Senate Educational Policy Committee has studied and discussed the creation of an Undergraduate Admissions Policy

Therefore, be it resolved that: The Purdue University Senate Educational Policy Committee endorsed the creation of an Undergraduate Admissions Policy by Purdue West Lafayette and brings this endorsement forward for discussion and endorsement by the Purdue University Senate.

Respectfully submitted on behalf of the Purdue University Senate Educational Policy Committee,

Teri Reed-Rhoads
Chair, Educational Policy Committee
Purdue University Senate

Approving: Disapproving: Absent:
James R. Daniel Danita M. Brown
Frank J. Dooley Ronald J. Glotzbach
Peggy A. Ertmer Chong Gu
Joan R. Fulton Martin A. Lopez-de-Bertodano
Katherine Horton Matthew Swiontek
R. Neil Houze
Christine A. Hrycyna
Harold P. Kirkwood
Robert A. Kubat
Lindsey Payne
Teri Reed-Rhoads
Thomas H. Siegmund
Glenn G. Sparks
A. Dale Whittaker