

## **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 inter-disciplinary 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](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](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

Allocations and Salary Supplements for Distinguished Professors, Named University Professors, Named Professors, and University Faculty Scholars”).

### **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:

1 <sup>st</sup> Digit:	Voting (2 = not eligible for voting)
2 <sup>nd</sup> Digit:	Tenure Status (2 = not eligible for tenure)
3 <sup>rd</sup> Digit:	Type of Appointment (R = Research Faculty)
4 <sup>th</sup> Digit:	Rank (same as tenure track faculty)
5 <sup>th</sup> Digit:	Staff (F = Faculty)
6 <sup>th</sup> & 7 <sup>th</sup> 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:

<u>Topic</u>	<u>Contact</u>	<u>Phone</u>
Authorization to Establish Positions	Office of VP for Research	765-49-48097
Approval Requirements	Office of VP for Research	765-49-48097
Search and Search Waivers	Affirmative Action Office	765-49-47253
Contracts & Contract Renewals	Human Resource Services	765-49-47137
Benefits	Staff Benefits	765-49-47723
Leaves	Human Resource Services	765-49-47137

<u>Topic</u>	<u>Contact</u>	<u>Phone</u>
Academic Issues: General	Office of VP for Research	765-49-43996
West Lafayette	Office of VP for Research	765-49-43996
Calumet	VC for Academic Affairs	219-989-2581
Fort Wayne	VC for Academic Affairs	219-481-6116
North Central	VC for Academic Affairs	219-785-5201

**Attachment B**

***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](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)**.