

**Request for Unit Authorization to Make
Regular Appointments for Special Research Faculty**

University policy (attached) provides guidance for approval of requests for hiring special research faculty (such as research associates, research scientists, and other related titles) in REGULAR appointments. Please provide the information requested below so that those approving the request can assess the appropriateness of regular appointments for the particular research center or program.

Name of requesting unit (research center, program, institute, department) and department (organization) code:

Name of program/center/institute director, or dept head initiating request:

Date of request: _____

Requested length of time for authorization: ____ 3 years ____ 4 years ____ 5 years

Provide specific information on past and future funding sources, access to overhead, and any other relevant financial resources available to support the financial obligations associated with regular rather than restricted appointments. (Enlarge space as needed.)

Describe the personnel plans for the center or program and how these appointments will be used in the overall scheme of research faculty appointments. How many REGULAR appointments might the program anticipate making during the authorization period compared to RESTRICTED appointments? How and on what grounds will a decision be made to make certain appointments regular while others are restricted? How do regular appointments serve the special needs of the research program or center? (Enlarge space as needed.)

Are you intending to request a change from restricted to regular appointment for any existing personnel? If so, who? Provide name, title, social security number, hire date, and information on whether a search was conducted for the original appointment. (These individual actions will have to be initiated on a P-3A and approved through regular channels.)

I have read the attached policy and understand the additional financial obligations incurred by my research program or center for personnel on REGULAR appointments. I understand that the obligation is incurred for each employee on such an appointment. Further, I understand that if the financial condition of the program or center changes significantly during the approved period, authorization to make regular appointments may be rescinded.

Signature Program/Center/Institute Director, or Department Head Date

Signature Department Head or Administrator as defined in Policy 3020 Date

Signature Dean (if relevant) Date

Authorization granted for the time period _____

Vice President for Research Date

**Policy on Regular Appointments for Special Research Faculty
(Approved by the Board of Visitors, March 2001)**

A research center or program, including research entities established by state or Board action, may seek approval from the relevant department head, dean (or appropriate administrators as defined in Policy 3020) and the Vice President for Research (or designee) to advertise and fill certain special research faculty positions as “regular” rather than restricted appointments under certain conditions. The criteria and expectations for such approval are as follows:

1. The research program or center must have a documented record of substantial past funding, usually from diversified sources, generally over more than five years. In the case of a new center with multi-year funding, documentation of the new funding supported by the history of funding for the principal researchers may be considered. Research programs supported in full or part by state funds are eligible for consideration for regular positions.

For the purposes of this policy, “research programs or centers” is defined very broadly to include those entities established by state or Board action for the purposes of conducting research, as well as those that meet the definition of departmental, college, or university centers as defined in university policy. Departments intending to support specific research faculty members on state funds, whether or not those individuals participate in a “program” or “center,” may also seek approval to appoint a special research faculty member to a regular position.

2. The research program or center must have documented prospects for continued funding at a level equal to or greater than its current funding.
3. The unit must be able to guarantee payment of salary and fringe benefits from sponsored grants or contracts (or other appropriate sources) for a minimum of three years in order to advertise a special research faculty position as a regular appointment.
4. The unit must be able to guarantee funding of annual leave payout, sick leave, and salary following non-reappointment in the case of insufficient grant funds. The source of such payouts or salary support must be non-sponsored funds, such as indirect or state funds.
5. The unit will advertise and conduct a national search for regular positions. Search exemptions may be approved only under certain very limited conditions, such as unique qualifications or unit restructuring. However, a search **MUST** be conducted if there is an intention of supporting an international candidate for permanent residency. In such a cases, the hiring unit should work closely with the Graduate School to ensure compliance with current INS regulations. (A document titled “Search Committee Procedures for Hiring International Faculty” is available from the Graduate School. Appropriate documentation of the search process and selection is a critical element in supporting an application for permanent residency.)
6. In supporting the request for a regular faculty appointment, the unit and/or department (or approving unit) is thereby committing itself to covering shortfalls

- in funding between grants, or whenever there is insufficient funding for the salary, from other sources. Should this occur, duties may be reassigned in order to match the available source of funds.
7. The Research Division may grant approval to the unit to conduct searches for regular positions for a period of three to five years at which time the financial capabilities and commitments of the unit would be reviewed and authorization granted for another period of 3-5 years, if appropriate.
 8. Approval for the unit to advertise and fill some special research faculty positions as regular appointments does not in any way suggest that all positions in the unit should be so designated. Indeed, careful thought should go into the shaping of such positions, the identification of talents and skills needed in the research group, and the availability of qualified individuals that may necessitate this more generous commitment of resources.
 9. Postdoctoral associates are considered temporary or short-term appointments by definition and are not appropriate for “regular” appointments.

The period of notice required for non-reappointment for special research faculty on regular appointments shall be:

- at least three months for those who have been in regular appointments for less than two years
- at least six months for those who have been in regular appointments for two years or more.
- for those special research faculty appointed to “regular” positions before the effective date of this policy (March 2001), the notice of reappointment shall be the same as that specified in the Faculty Handbook, section 2.10.3.