

Office of the Dean
McCormick School of Engineering & Applied Science
Northwestern University
August 29, 2011 (revised May 19, 2020)

McCormick Policy on Funding Sources and Terms for Research Faculty Appointments

In order to comply with government regulations, and in the absence of specific guidelines from the University, all new and renewed research faculty appointments are subject to the following McCormick policy. The salary funding source portion of this policy is consistent with that in the Weinberg College of Arts and Sciences. This policy is subject to change when a final University policy is implemented.

NEW RESEARCH FACULTY APPOINTMENTS

1. **Term:** All new research faculty appointments (for positions starting on September 1, 2011 or later) will be 12-month appointments. McCormick will no longer make any 10- or 11-month appointments to be paid over 12 months. Like tenure/tenure-track faculty appointments, the 12-month research faculty appointments will not carry with them a specified amount of vacation. McCormick recommends that all research faculty members take two to four weeks of paid vacation each year. McCormick will only consider 9-month appointments under exceptional circumstances, typically in conjunction with a coterminous 9-month teaching or administrative appointment.
2. **Salary Funding Sources:** If a research faculty appointment is 100% paid from sponsored funds, that research faculty member may not write any proposals, submit any proposals as principal investigator or co-investigator, or participate in any teaching or administrative work. If the research faculty member participates in any of these activities, then the sponsoring permanent faculty member is responsible for covering at least 5% of the faculty member's annual salary and fringe benefits from non-sponsored funds during the entire fiscal year in which any of these activities occurred. Under exceptional circumstances and only with permission of the Office of the Dean, this 5% of the salary can be covered by the department for no more than one year.

CONTINUING RESEARCH FACULTY APPOINTMENTS

1. **Term:** As of September 1, 2011, renewals of research faculty appointments will be 12-month appointments. McCormick will not renew any 10- or 11-month appointments paid over 12 months. Like tenure/tenure-track faculty appointments, 12-month research faculty appointments will not carry with them a specified amount of vacation. McCormick recommends that all research faculty members take two to four weeks of paid vacation each year. From the standpoint of salary and vacation, an 11-month appointment with one unpaid month, nominally

for vacation, is equivalent to a 12-month appointment with four weeks of paid vacation. Therefore, there will be no change in pay (other than annual merit increase) for the change from an 11-month appointment with one month of unpaid vacation to a 12-month appointment with four weeks of paid vacation. McCormick will only consider 9-month appointments under exceptional circumstances, typically in conjunction with a coterminous 9-month teaching or administrative appointment.

2. Salary Funding Sources:

- If a research faculty member does not write any proposals, submit any proposals as principal investigator or co-investigator, or participate in any teaching or administrative work, then the appointment can be paid 100% from sponsored funds. This option is not available for any research faculty member who has submitted any proposals as a principal investigator or co-investigator or participated in any teaching or administrative work during the past fiscal year (FY11).

- If the research faculty writes any proposals, submits any proposals as principal investigator or co-investigator, or participates in any teaching or administrative work, then the department in which the faculty member has an appointment is responsible for funding at least 5% of the faculty member's annual salary and fringe benefits from non-sponsored accounts during the entire fiscal year in which any of these activities occurred.
 - To ease the transition, McCormick Administration and the department will share equally the responsibility of funding the 5% of faculty salary and fringe for an interim period through FY13 (August 31, 2013). Thus, McC Administration will fund 2.5% and the department will fund 2.5%.
 - After FY13, the department will be responsible for funding the entire 5% of faculty salary and fringe.
 - After FY20, the sponsoring permanent faculty member will be responsible for funding the entire 5% of faculty salary and fringe on non-sponsored funds.