

Interdepartmental Correspondence

Office of the Senior Associate Dean
McCormick School of Engineering & Applied Science
Northwestern University
August 29, 2011; revised August 12, 2014

Research Faculty Appointments Guidelines

With the approval of the Office of Research, McCormick appoints research faculty at the levels of Research Assistant Professor, Research Associate Professor, and Research Professor. This document outlines McCormick policy on such faculty appointments. Further information regarding the Office for Research policy on research faculty appointments is available at <http://www.research.northwestern.edu/policies/research-appointments/research-faculty.html>.

Guidelines specific to McCormick are as follows:

- 1) Research faculty appointments may only be made within a specific department using the NU "Recommendation for Faculty-Level Research Appointment" form (available at: http://www.research.northwestern.edu/policies/research-appointments/documents/Research_Faculty_Form.pdf).
- 2) All research faculty appointments are 12-month appointments with paid vacation. McCormick will consider 9-month appointments only under exceptional circumstances, typically in conjunction with a coterminous 9-month teaching or administrative appointments.
- 3) Initial appointments and promotions for research faculty require a positive vote of the tenured/tenure-track faculty of the department in which the appointment is made. A letter or memo from the department chair indicating the faculty vote should accompany the recommendation for appointment.
- 4) For a new appointment at the assistant research professor level, at least three letters of recommendation should be provided with the recommendation for appointment. At least one letter of recommendation, and preferably more, should be from outside of Northwestern University. In addition, the candidate's CV and a research statement should be provided with the recommendation for appointment.
- 5) For a new appointment or promotion at the associate or full research professor level, 4-5 letters of recommendation should be provided with the recommendation for appointment. At least 2 letters of recommendation, and preferably all, should be from outside of Northwestern University. In addition, the candidate's CV and a research statement should be provided with the recommendation for appointment.

- 6) Research faculty reappointments at the same rank require a faculty vote, current CV, and research statement, if there has been no department vote within the past three years. If there has been a faculty vote in the past 3 years, the reappointment can be made without a faculty vote, CV, or research statement.
- 7) The term for a research faculty appointment can be up to 5 years, but all appointments are subject to annual performance review by the department, which should be clearly stated in the letter of appointment.
- 8) The 12-month salary for research faculty appointments is typically commensurate with the 9-month salary of tenured/tenure-track faculty at the same experience and appointment level (assistant, associate, or full) in the department. The sponsoring department is responsible for the annual review of the research faculty member as well as for recommending the annual merit increase (within the limits of available funding).
- 9) Research faculty appointments should not be made as a substitute for post-doctoral researcher appointments, which are focused on post-doctoral training, or research associate appointments, which are intended for laboratory research without preparing proposals for sponsored research (see <http://www.research.northwestern.edu/policies/research-appointments/research-staff.html>).
- 10) Departments are responsible for assuring compliance for research faculty, which may include paying a portion of their salary from non-sponsored sources, per McCormick and Northwestern policies, as well as complying with other University policies and appropriate laboratory safety requirements and training. University policies pertaining to research faculty appointees include, but are not limited to, the University Patent Policy, Policy on Faculty Conflict of Commitment and Conflict of Interest, Policy on Integrity in Research and Procedures for Reviewing Alleged Misconduct, Northwestern University Staff Handbook, and Policy on Employment of Relatives. Each of these policies can be found at the Office of Research web page.
- 11) Departments are responsible for providing the necessary office and lab space for research faculty.