

**The University of Chicago  
Office of the Vice President for Research  
and for National Laboratories**

**Policy and Procedures for  
Joint Research Appointments for Employees of the University of Chicago and  
Argonne National Laboratory**

The University of Chicago (the “University”) maintains a broad program of cooperation with the scientific community at Argonne National Laboratory (“Argonne”) in order to (1) promote research and education in technical and scientific fields relevant to the programs and mission of the U.S. Department of Energy (“DOE”), and (2) facilitate interrelationships in these research fields between the Argonne research community and the University’s academic community. These interactions strengthen the research and development capabilities of the two institutions. To help achieve the objectives of the program, joint research appointments may be established in which Argonne or the University may appoint their employees to conduct research and development activities at the other institution. The employer of the joint research appointee is referred to as the home institution; the recipient of the joint research appointee is referred to as the host institution.

**Joint Research Appointment Policy**

Before embarking on a joint research appointment, thoughtful consideration should be given about the roles and responsibilities of the joint research appointee. There should be mutual understanding between the home and host institution about the functional role of the joint research appointee and with regard to the financial, administrative and other arrangements tied to the appointment. The home and host institutions must also work together to conduct periodic reviews to evaluate the conditions and overall success of the joint research appointment.

Conditions for joint research appointments between the University and Argonne shall be as follows:

1. The joint research appointee should meet the same standards of scholarly distinction as a regular appointee of the equivalent rank at the host institution. The joint research appointee for staff level employees should also meet the same standards of employment for staff positions at the host institution.
2. The joint research appointee remains an employee of the home institution, while being able to perform work at the host institution.
3. Joint research appointees to the University may be given one of four titles: Senior Fellow with Principal Investigator (PI) Status; Fellow with PI Status; Fellow; and Staff.

4. The joint appointments should be for a fixed term of years based upon the following:
  - Senior Fellow with PI Status = 5 year term
  - Fellow with PI Status = 3 year term
  - Fellow = 3 year term
  - Staff = 1 year term
5. The joint research appointment shall be coterminous with the joint research appointee's employment at the home institution, but may be terminated at any time at the University's sole discretion.
6. Joint research appointment terms are renewable and should be determined based upon the individual's continued scholarly distinction or employment contributions.
7. All salary and benefits are to be paid by the home institution in accordance with the Joint Research Appointment Procedures as noted below.
8. Should a joint research appointee be appointed to work on a grant funded or University funded project, the funded project will be responsible for the prorated amount of salary and benefits associated with the project. Additionally, any indirect costs (as negotiated with Argonne) associated with the apportioned amount of the joint research appointee's time will also be paid by the grant or University funded project in accordance with the Joint Research Appointment Procedures as noted below.
9. Joint research appointees shall not count against the relevant University division's faculty headcount.
10. All proposals that involve a PI with the rank of Professor (part-time); Associate Professor (part-time) or Assistant Professor (part-time) must be discussed in detail with University Research Administration.

## **Intellectual Property Rights**

The intellectual property disposition for the particular joint appointment and its attendant effect on work at the home and host institution must be given careful consideration.

Generally, intellectual property rights are as follows:

- Argonne employees appointed to the University (Federal funds): Argonne has ownership rights in Argonne employee inventions and copyrights and unlimited rights to data.
- Argonne employees appointed to the University (Nonfederal funds): The University has ownership rights in Argonne employee inventions and copyrights and the right to mark data proprietary.
- University employees appointed to Argonne: The University has ownership rights in University employee inventions and copyrights and unlimited rights to data.

## Joint Research Appointment Procedures

Usually, consideration of a joint research appointment is initiated between the appropriate unit of the University (e.g., department, institute or center) and the Argonne employee or between the appropriate Argonne division and the University employee.

### Appointment Process for Current University or Argonne Employees

1. All joint research appointments shall be coordinated through the University's Office of the Vice President for Research and for National Laboratories (OVPRNL) and Argonne Human Resources.
2. A department chair, center or institute director or PI of the University or a Division Director or Associate Laboratory Director (ALD) of Argonne shall originate a letter of recommendation for a joint research appointment (one per candidate).  
Recommendation letters should include:
  - a. Full name
  - b. Current title at home institution
  - c. Proposed rank/title with host institution
  - d. Dates of proposed appointment
  - e. Copy of current curriculum vitae
3. A University department chair and dean or an Argonne division director and ALD must approve the recommendation prior to forwarding the request to the OVPRNL for approval.
4. The OVPRNL will coordinate the approvals of the Vice President for Research and for National Laboratories; the Argonne Laboratory Director; and, for faculty candidates, the Office of the Provost.
5. The OVPRNL will prepare and distribute to the candidate the formal appointment letter, and forward copies thereof to the Argonne Laboratory Director; the Argonne Chief Financial Officer; Argonne Human Resources; the appropriate unit of the University; and the appropriate University dean.
6. The unit of the University will prepare a Multiple Action Form (MAF) upon receipt of the appointment letter and ensure that the MAF is approved by the unit director (or equivalent position) and the University dean.
7. Argonne Human Resources shall prepare and circulate a Joint Research Appointment Agreement for signature by the University and the joint research appointee.
8. Signed copies of the agreement should be sent to the OVPRNL; the originals will be maintained by Argonne.
9. Upon termination of a grant funded project or termination of employment at the home institution, the administrative staff of the home institution shall inform the host institution of the new status of the joint appointee via either memo, a revised Joint Appointment Salary Reimbursement Form or email as appropriate.

## Joint Recruitment Process for Outside Candidates

1. An opportunity to leverage resources in a particular field of study presents itself to Argonne and the University.
2. **Joint Search Committee.** A carefully crafted charge to the search committee with clear milestones and a time line is essential for coordinating searches that involve multiple departments and divisions.
3. **Interview Process.** The interview process should be integrated, and include visits to the University and Argonne.
4. **References.** Given that multiple constituents may be interested in reference letters, the request for letters should be a coordinated effort. The Search Committee will be responsible for composing a list of candidates for whom letters should be requested. The Search Committee will notify the appropriate dean at the University, the Vice President for Research and for National Laboratories and the Argonne Deputy Director of Programs. A formal request for letters will then be sent with the University dean and Argonne Deputy Director of Programs as signatories. In an effort to inform all relevant constituencies, the Search Committee will send a separate memo to the appropriate University and Argonne units, notifying them that a joint request for letters was made.
5. **Resources and Communication Plan.** An explicit understanding of resource contributions, etc. need to be clearly documented before communicating with potential recruits. Point(s) of contact need to be identified for negotiation of an offer and implementation of internal appointment processes at the University and Argonne.
  - a. University Process
  - b. Argonne Process
6. **Offer letters.** Offer letters should be co-written and co-signed by the institutions and include the following elements:
  - Identify the home institution.
  - Identify percent effort for activities at the University and Argonne.
  - Identify space and resource commitments from both institutions.
  - Identify teaching responsibilities.
  - An articulation that joint appointees need to satisfy both institutions; they need to have a visible presence on both campuses
  - An articulation that joint appointees report to both institutions and as such salary considerations will be reviewed by both.
  - Appointee must complete necessary employment documents from the home institution. A Joint Appointment Agreement (ANL-665 or ANL-666) should be executed and where appropriate a Joint Appointment Salary Reimbursement Form (JASRF).

## **Funding Considerations**

Collaborative research programs may include funding from the University, Argonne or funding from both institutions. Grant funding that is awarded to the University is considered funding from the University, just as DOE funding awarded to Argonne is considered funding from Argonne. An institution cannot account for an individual on a project as both a joint appointee and a home institution employee. An institution that is not proposing or receiving a grant award, but is providing employee effort other than a joint appointee's effort, may need to enter into a Work for Others (WFO) or Basic Ordering Agreement (BOA) if the rendered services, for whatever reason, cannot be invoiced to the other institution. See the attached *Grants & Contracts Collaboration Process Tree* for guidance.

## **Reimbursement Considerations**

Reimbursement of a joint research appointee's efforts on a funded project will be based upon the employee's salary, fringe benefits and established indirect rate and prorated based upon the effort on the project. For these funded projects, the PI should ensure that a Joint Appointment Salary Reimbursement Form (JASRF) is completed. See the attached. This form documents the percent effort an individual will work on a funded project. The following information must be included on the form:

- Joint research appointee name
- Home institution
- Home institution job title
- Joint research appointment unit
- Joint research appointment title
- Salary and fringe benefit amount
- Name of project
- Percent effort on project
- Funding source of project (University FAS Account # or Argonne cost code)
- Start and end date of effort

All signatures and endorsements must be complete prior to processing the JASRF. The OVPRNL will prepare a memorandum to the Assistant Chief Financial Officer of Argonne documenting the reimbursement requirements and attach an approved copy of the JASRF. Copies of this memo and the JASRF should be forwarded to Argonne Human Resources and the appropriate unit of the University for their respective files.

The Financial Administrator of the OVPRNL utilizes the JASRFs to create an Excel spreadsheet which summarizes salary and benefit charges for the month based upon the percent effort for each joint research appointee and each project. Any changes must be supported by a new or revised JASRF. Changes may include:

- New joint research appointment projects or effort
- Expired joint research appointment projects or effort

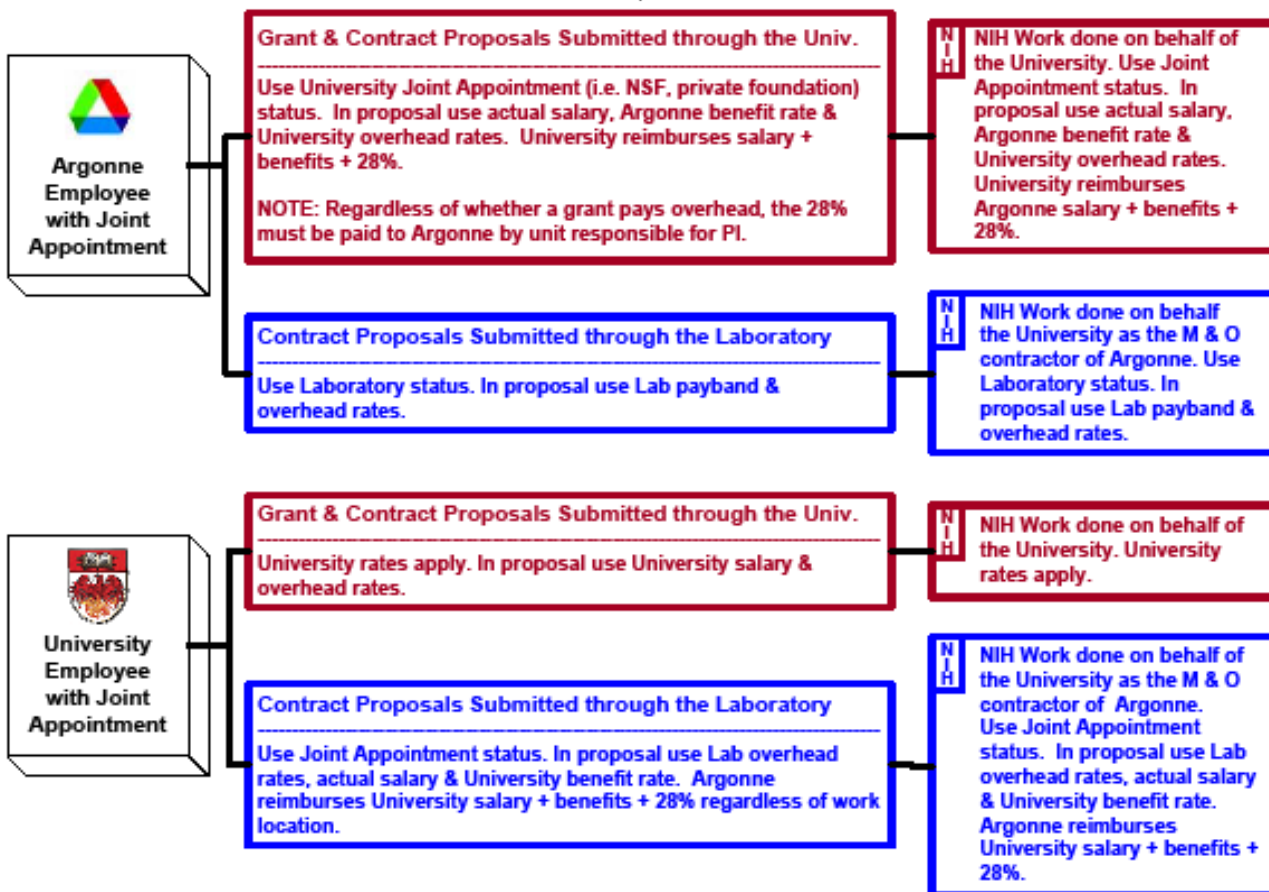
- Changes in salary and/or fringe benefits (including one time adjustments)
- Changes in project account numbers

The monthly spreadsheet is compared to a companion spreadsheet prepared by the Accounting Division of Argonne to ensure accuracy on both sides. Once balanced and free of errors, the spreadsheet is converted by the OVPRNL and uploaded to the University's FAS using SSH Secure File Transfer. Invoices are prepared by Argonne Accounting seeking reimbursement for the month based upon this information. For those joint research appointees whose effort is being reimbursed by Argonne, the appropriate unit of the University prepares and submits an invoice to Argonne for reimbursement based upon this information.

**Grants & Contracts  
Collaboration Process Tree**  
Application of Rates - Salary, Benefits & Overhead

**LEGEND**  
 University funds (Federal, private or internal funds) = maroon text  
 Lab funds (DOE, LDRD, other Federal agencies, Work for Others, CRADA - Cooperative Research and Development Agreement) = blue text

**Joint Appointees / University - Argonne Collaborations**



**Non-Joint Appointees / University - Argonne Collaborations**

**University Grant or Contract Proposal Involving Argonne**

When collaborative work is being done, a Work For Others (WFO) is used to engage the Laboratory. Argonne is to receive full recovery and terms & conditions of the WFO apply independent of the primary awarding entity. Note that NSF does not normally support research or education activities by scientists, engineers or educators employed by Federal agencies or Federally Funded Research and Development Centers (FFRDCs).

**Argonne Contract Proposal Involving University of Chicago**

When collaborative work is being done, a Basic Ordering Agreement (BOA) is used to engage the University. Note that this is subject to terms & conditions & involves full cost recovery.

## University of Chicago/Argonne National Laboratory Joint Research Appointment Salary Reimbursement Form

University of Chicago  
Office of the Vice President for Research and for National Laboratories

Please submit completed forms to Christopher Widmer, Executive Director (University of Chicago at Argonne National Laboratory, 9700 S. Cass Avenue, Building 201, Office 185, Argonne, Illinois 60439-4832; Tel. 630-252-5328).

I. Joint Research Appointee Information
Joint Research Appointee Name: _____
Home Institution: <input type="checkbox"/> ANL (Division: _____ Badge Number: _____) <input type="checkbox"/> UofC (Dept: _____ Appointment: <input type="checkbox"/> 12 months; <input type="checkbox"/> 9 months)
Job Title: _____ email: _____ phone: _____
II. Joint Affiliation with Host Institution
Joint Research Appointment Unit : <input type="checkbox"/> Computation Institute <input type="checkbox"/> Consortium for Nanoscience Research <input type="checkbox"/> Environmental Science Center <input type="checkbox"/> Other (specify): _____
Joint Research Appointment Title (check all that apply): <input type="checkbox"/> Faculty <input type="checkbox"/> Senior Fellow <input type="checkbox"/> Fellow <input type="checkbox"/> Staff    Other (specify): _____
III. Salary and Fringe Benefit Reimbursement Information (one project per form)
Is this an update to an existing agreement? <input type="checkbox"/> yes <input type="checkbox"/> no
Reimbursement Time Period (maximum of one year, except for faculty joint appointments): Beginning ( <b>month / day / year</b> ): _____ Ending ( <b>month / day / year</b> ): _____
Percent effort devoted to Host Institution: _____ % annual effort for <b>ANL employees</b> _____ % effort for <b>U of C employees</b> based on a <input type="checkbox"/> 12 month <input type="checkbox"/> 9 month appointment <b>OR</b> for _____ % effort _____ months of summer salary (9 month appointees may request up to 3 months of summer salary)
Annual Salary: \$ _____ Annual Fringe Benefit Cost: \$ _____ Fringe Benefit Percent: _____
Reimbursement Request: Total Salary: \$ _____ Total Fringe Benefits: \$ _____

Grand Total of Salary plus Fringe: \$ \_\_\_\_\_

Funding Source from host institution:  
UofC FAS: \_\_\_\_\_ OR ANL Cost Code: \_\_\_\_\_

\_\_\_\_\_/\_\_\_\_\_  
Administrator Printed Name                      date                      Signature                      /                      date

#### IV. Project Information

Scope of Work / Specifications (use additional pages as necessary):

#### V. Endorsements

I hereby certify that the scope of work and the percent effort set forth herein fairly reflects the relative effort to be provided on this project. Furthermore, my total percent effort at both the home and host institutions combined does not exceed 100 percent.

\_\_\_\_\_/\_\_\_\_\_  
Joint Research Appointee Printed Name                      date                      Signature                      /                      date

I hereby certify that the percent effort set forth herein fairly reflects the relative effort to be provided on this project.

\_\_\_\_\_/\_\_\_\_\_  
Project Director/Principal Investigator Printed Name                      date                      Signature                      /                      date

By endorsing this, I hereby acknowledge the effort required and the funding source cited, and I approve this arrangement between the institutions.

\_\_\_\_\_/\_\_\_\_\_  
Dept. Chair (Dean) or Div. Director (ALD)                      date                      Signature                      /                      date  
of home institution Printed Name

\_\_\_\_\_/\_\_\_\_\_  
Dept. Chair (Dean) or Div. Director (ALD)                      date                      Signature                      /                      date

**Please provide a breakdown of your effort across institutions. Please provide project-level detail for effort at the host institution only.**

**HOME EFFORT:** Total Percent Effort at Home Institution \_\_\_\_\_

**HOST EFFORT:** Total Percent Effort at Host Institution \_\_\_\_\_

No.	Project Name	Account No.	Percent Effort	Start Date	End Date
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____

**I certify that the effort indicated on this salary charge authorization form is correct and just; that the amounts claimed represent fair and accurate charges against the University of Chicago and that reimbursement has not and will not be received under any other source of funds.**

\_\_\_\_\_/\_\_\_\_\_  
Signature Date

**VI. Approval**

\_\_\_\_\_/\_\_\_\_\_  
Office of the Vice President for Research and for National Laboratories Date

Approved 9/30/02

Revised 06/04/08