

Contact Person	Diane Muncrief	Revision	4
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JOINT APPOINTMENT POLICY

The Joint Appointment Policy details what a joint appointment is, how to set one up and the responsibilities involved in maintaining this type of appointment at the Ames Laboratory.

1.0 APPROVAL RECORD

- Reviewed by: Document Control Program Assistant (Molly Daub)
- Approved by: Manager, Human Resources (Diane Muncrief)
- Approved by: Chief Operations Officer (Mark Murphy)
- Approved by: Associate Director for Sponsored Research Administration (Deb Covey)
- Approved by: Legal Counsel (Adwin Hesseltine)
- Approved by: Chief Research Officer (Duane Johnson)
- Approved by: Assistant Director for Scientific Planning (Cynthia Jenks)
- Approved by: Deputy Director (Tom Lograsso)
- Approved by: Laboratory Director (Adam Schwartz)

The official approval record for this document is maintained in the Training & Records Management Office, 105 TASF.

2.0 REVISION/REVIEW INFORMATION

The revision description for this document is available from and maintained by the author.

3.0 PURPOSE AND SCOPE

This policy documents the process for handling joint appointments between the Ames Laboratory and its contractor, Iowa State University (ISU). It applies to all employees including faculty, professional and scientific, contract associates, postdoctoral research associates, graduate assistants, merit and hourly employees.

4.0 ROLES AND RESPONSIBILITIES

Iowa State University is the management and operating contractor for the Ames Laboratory. Ames Laboratory employees are employees of ISU. As such, the Ames Laboratory Human Resources practices follow those of ISU. This policy reflects the policies and practices of ISU, which are in accordance with OMB Circular A-21, Section J, and OMB's Uniform Guidance, Subpart E.

5.0 PROGRAM/POLICY/PROCEDURE INFORMATION

Rather than hire large numbers of short term employees with specific expertise, Ames Laboratory may utilize a joint appointment of an ISU employee for a particular project. Ames Laboratory will support a portion of their salary and benefits for a period of time by paying a proportional share of compensation based on the percent of effort devoted to the Ames Laboratory project(s). Joint appointments are especially common during the summer months when teaching responsibilities may be less and research opportunities are more plentiful. This

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joint appointment process is currently used on a regular basis, with the Laboratory commonly at any time having 55 to 70 staff on joint appointments, including professional and scientific staff, post doctoral and graduate assistants as well as non-exempt employees.

6.0 JOINT APPOINTMENT PROCEDURE

6.1. Type and Duration of Appointment

Joint appointments are characterized by the appointee remaining an employee of the appointee's home ISU department while being able to conduct research and development at Ames Laboratory. Appointments are made for a specific period of time as documented by a personnel requisition or change request document. ISU may also require separate documentation (see Section 7.0 below) when its faculty members hold joint appointments.

6.2. Selection of Appointees and Processing

Joint appointments are effected between Ames Laboratory and the appropriate ISU academic department or administrative area when requested by an Ames Laboratory staff member.

- For a new joint appointment, the respective program director or manager will negotiate the terms of the joint appointment with the appropriate ISU academic program or area. These terms are outlined in the [Personnel Requisition Form \(Form 48200.005\)](#) and include the name of the joint appointee, job title, appointment period, salary, and effort level.
- The personnel requisition, if approved, is signed off on by the supervisor, program/center director, the Budget Office, Ames Laboratory Director's Office and Human Resources.
- New joint appointments must check in through Human Resources and complete the appropriate paperwork, specific to Ames Laboratory.
- For reappointments (i.e. those who have previously been on appointment with Ames Laboratory, including staff whose term appointment is extended without a break or at the beginning of a new fiscal year), a [Reappointment/Change Form \(Form 48200.003\)](#) is generated and signed off on by the supervisor, program director, Budget Office and Human Resources.
- All joint appointments are coordinated through Ames Laboratory Human Resources.
- Upon receipt and completion of the required forms, Human Resources will process the joint appointment through the Ames Laboratory database system and generate the appropriate electronic personnel action in the ISU payroll system. Distribution of payroll is in accordance with OMB-A21, Section J, and OMB Uniform Guidance, Subpart E.

6.3. Responsibility for Compliance

It is the responsibility of the respective Ames Laboratory division/program/department to ensure compliance with this procedure and ensure that appropriate joint agreements are properly executed and documented in the Letter of Intent and/or the Personnel Requisition. Any modifications to the joint appointment agreement must be documented by an appropriate Change Request Form.

Payroll distribution and effort report are interrelated and further documented on the ISU

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Employee Activity Summary of Effort (EASE) Form. Payroll distribution is the distribution of an individual's salary across all funding sources. Effort report is the verification of an individual's ISU compensated activities (i.e., the effort on sponsored projects and various functions the employee performs). EASE forms are printed by ISU and distributed to departmental EASE coordinators who see that the forms are completed by the employee and certified by the supervisor, then returned to ISU's Controller's Department by the Ames Laboratory departmental EASE coordinator. These forms are required and tracked by ISU and the Ames Laboratory departmental EASE coordinator.

ISU faculty who are paid by Ames Laboratory during the academic year should be provided a one year notice if Ames Laboratory cannot guarantee that the funding will continue during the next academic year.

6.4. Intellectual Property Rights

All Ames Laboratory employees and joint appointees with the Laboratory are required to sign the [Ames Laboratory Intellectual Property Agreement \(Form 10100.009\)](#) as part of the check in process as noted above.

6.5. Execution and Records Maintenance

Joint appointments are executed through the initiation of a Personnel Requisition or Change Request Form. Once approved, new appointees must check in with Ames Laboratory Human Resources to complete the appropriate forms. These forms are maintained in the employees personnel file. Subsequent changes to the joint appointment are documented by a Change Request Form, which is maintained by Human Resources.

Joint appointees are required to check out of Ames Laboratory at the end of their appointment.

7.0 RESOURCES

ISU Office of the Senior Vice President and Provost

- Effort Reporting and Certification Policy Frequently Asked Questions: <http://www.provost.iastate.edu/sites/default/files/uploads/staff/20120517EffortReportingandCertificationPolicyFAQ.pdf>
- Faculty Appointment Types: <http://www.provost.iastate.edu/resources/faculty-appointment-types>

ISU Effort Reporting and Certification policy: <http://policy.iastate.edu/policy/effort>

ISU Faculty Handbook Section 3.3.8: <http://www.provost.iastate.edu/resources/faculty-handbook>