

Policy on Honorific Appointments

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Responsible Office/Person	Academic Affairs: Provost
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Additional References	

University of Massachusetts Dartmouth
Division of Academic Affairs
Policy on Honorific Appointments

Purpose

This document clarifies and expands the university’s policy on Honorific Appointments, approved by the university’s Board of Trustees on September 10, 1987.

Honorific appointments are extended to individuals intending to engage in specified collaborative research or other intellectual involvement with the faculty of an academic department/program for a limited time. Normally, the collaboration with the department consists of participation on a research project and presentation of seminars or lectures. Honorific appointment provides a mechanism for scholarly collaboration between scholars and students external to UMass Dartmouth (UMassD) with UMassD faculty and for access to UMassD resources and laboratory facilities. It also provides a mechanism for a department within UMassD to grant academic rights to UMassD faculty who are from other departments.

Definitions

The University of Massachusetts Dartmouth recognizes four different types of honorific appointment: *Visiting Scholar, Visiting Research Student, Adjunct Faculty and Affiliate Faculty*.

Visiting Scholars are professionals who either have or have retired from an academic or other research position who desire to visit UMass Dartmouth.

Visiting Research Students are students at other institutions who are invited to campus to pursue research or other scholarly projects for a limited time and do not have an expectation of taking courses – usually a summer or single semester, but they may be as long as two years.

Adjunct Faculty appointments are extended to individuals who are employed or retired from institutions other than the University of Massachusetts Dartmouth and who do not hold any other permanent position at UMass Dartmouth.

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Affiliate Faculty appointments are extended to individuals who are full time faculty or faculty emeritus at UMass Dartmouth in a department other than the one making the affiliate appointment. They are often used to promote interdisciplinary research and to support interdisciplinary programs.

Procedure and Requirements

All honorific appointment requests should be made at least one month in advance of the expected start date, and appointments that require issuance of a visa should be initiated at least three months in advance.

Visiting Scholar Appointments (The alternative title of Visiting Professor may be used as a title for this type of appointment) are provided to individuals invited to our campus for a specific academic purpose and for a limited period of time, e.g., a semester or year. Renewal is not usually allowed. An individual may be repeatedly appointed as a Visiting Scholar provided the visits are separated in time – i.e. a faculty member might be a Visiting Scholar once every seven years for all of his/her sabbaticals.

Although the appointment may involve teaching, it is not primarily a teaching position but encompasses scholarly endeavor or other research or development work. Visiting Scholar appointments differ from faculty positions such as those for tenure-track faculty. They are an appointment to do a project or set of activities, not employment as a faculty member. Visiting Scholar appointments do not require a hiring search.

Visiting Scholar appointments differ from adjunct appointments in that visiting scholar appointments are for shorter duration, may provide the basis for the issuance of a visa and the appointment may include compensation from the university. Visiting Scholar appointments differ from Research Professor appointments in that the appointments are for shorter duration, no more than a year, and usually cannot be renewed.

Visiting Scholars are often faculty coming here from another university, perhaps on a sabbatical, to work on a research project or to develop new expertise or knowledge that they can bring back to their home institutions. Visiting Scholars can be from another university, industry, a research institute, etc... Visiting Scholars may register for or audit classes on a limited basis when that activity is appropriate to the nature and purpose of their appointment. They are responsible for payment of the regular tuition and fees for that activity unless specifically indicated otherwise in the appointing documents.

Criteria

Minimum qualifications shall include a) the appropriate academic degree and/or academic rank or equivalent professional experience in the field of the appointment, b) having an appropriate professional position at another higher education or research institution or c) being retired from such a position.

Responsibilities and Privileges

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Normally, Visiting Scholar appointments do not provide salary or stipend, insurance, benefits, and other financial support, but it is possible to extend such consideration with justification when funding is available. Visiting Scholar appointments typically provide supportive amenities such as workspace and access to facilities, technology, and the library. Such considerations must be stated in the appointing documents.

The individual should acknowledge UMass Dartmouth in any publications or other results from the Visiting Scholar Appointment.

Visiting Scholars who are sponsored by a department are assumed to have the rights and privileges of an adjunct professor for the duration of their appointments.

Compensated Visiting Scholars must sign a participation agreement indicating their understanding of the intellectual property policies of the university.

Uncompensated Visiting Scholars must sign the *Volunteer or Visiting Scholar Agreement* indicating their understanding of the intellectual property policies of the university.

Compensation

Visiting Scholars may be compensated for their work if funds are available; but some Visiting Scholars may be supported entirely by their own funding.

The level of total compensation for a Visiting Scholar who is being compensated by the University should be based on his/her salary at his/her home institution, or if he/she does not have a current full-time appointment, it should be based on the salary level at his/her last full-time position. In some cases, a Scholar may be visiting on sabbatical or on some externally funded project and may not need full salary compensation; but in other cases, he/she may be on leave or in another situation in which he/she is seeking support for his/her entire salary from UMass Dartmouth. In general, a Visiting Scholar's total compensation from all sources should not greatly exceed his/her established salary, but additional expenses incurred by the scholar as a result of his/her visiting status such as increased housing and travel costs, may be considered when determining compensation levels.

Appointment Approvals

Appointment must be initiated by invitation from a full-time faculty member or academic administrator. The person issuing the invitation must include a memorandum that indicates how the invitee became known to him/her in the application packet that is sent to the Dean.

Review of the academic and/or professional qualifications of the individual will be initiated at the level appropriate for the objectives of the appointment. A Visiting Scholar appointment request typically originates in an academic unit of the university (i.e., a department or academic center).

When an academic department or interdisciplinary program recommends a Visiting Scholar appointment, the recommendation goes to the Dean of the College/School.

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When a center director recommends an appointment that does not involve teaching, the recommendation goes to the individual to whom the center reports, e.g., to the Dean. When a center director recommends an appointment that involves teaching as well as activities in the center, the recommendation would originate in the center but be routed through the department in which the teaching would occur for a departmental recommendation on the appointment.

Appointment of a foreign national to a position as a Visiting Scholar requires approval from the UMass Dartmouth Director of Compliance to maintain deemed export control.

Uncompensated Visiting Scholars

The Dean will have final approval for uncompensated Visiting Scholar appointments.

The Dean issues appointment letters that delineate the terms of appointment to uncompensated Visiting Scholars with a copy to the Office of Human Resources.

Compensated Visiting Scholars

Approval from all people with budget authority for the financial support must be secured including the Office of Research Administration if grant funds are to be used.

All approvals should be secured prior to forwarding the appointment request to Human Resources.

The Office of Human Resources verifies that the position is legitimately honorific (short term appointment of a well-qualified individual) as opposed to one that should be posted and filled through a job-search process and that the level of compensation is appropriate.

Human Resources issues the appointment letters for compensated Visiting Scholars.

Documentation Required for the Appointment

The recommendation for a Visiting Scholar to be appointed should describe the nature, scope, and expected outcomes of the appointment. It should:

- o Include a memorandum that identifies how the Visiting Scholar became known to the host individual.
- o Indicate the primary purpose of the visit and benefits to UMass Dartmouth.
- o Outline the activities the Visiting Scholar will undertake. Specifically, it should:
 - State the academic field, the specific research or instruction area and the goals of the endeavor;
 - Indicate a stated result or outcome--if not a concrete scholarly product, then a summary of the expected achievements and the benefits received by the university.

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- Indicate other activities or outcomes; for example, specified interactions with faculty, students, or staff.
 - If teaching is involved, indicate the course or courses to be taught and any special conditions.
- o Indicate the starting and ending dates of the visit. Visiting Scholar appointments are for a specific duration.

The recommendation to the Dean should also:

- o Document the individual's qualifications.
- o Document that the individual wishes to accept the appointment as described.
- o Indicate a person in the department or center who will be the contact person for the individual and who will oversee progress on the project and activities.
- o State specifically the support the university will offer the individual: e.g., if an unfunded appointment, desk or office space, research space, telephone, computer, access to library, access to e-mail, access to computer services, access to secretarial assistance, access to campus housing; and if funded, also state the terms of the funding. Signatures accompanying the recommendation are commitments to provide the support indicated.

Renewal

Visiting Scholar Appointments may only be renewed under unusual circumstances. Requests for renewal must be approved by the Provost whether or not the Visiting Scholar is being compensated. Criteria for renewal of appointments for compensated Visiting Scholars are particularly stringent.

Individuals seeking longer term appointments should seek appointments as Postdoctoral Students, Research Associates, Research Professors or Adjunct Faculty.

Non-immigrant Visa (if required)

If the individual needs a non-immigrant visa, it would usually be the J-1 visa. The office on campus charged with issuing J-1 visa permission will assist the unit inviting the individual by contacting the individual to learn personal and official information needed for submission of the forms that result in the requisite visa. If there is limited time, the office can begin the visa paperwork before the approval is final. Issuing of visa forms will not occur until the honorific appointment is fully approved.

It is a requirement for the J-1 visa that we have on record clear documentation of the nature, scope, and results of the appointment and the appointee's qualifications, as indicated above. The J-1 visa is issued for the purpose of full-time pursuit of the

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described project and activities; there are specific conditions and limitations regarding work for compensation, travel, dependents, etc., and we are accountable for monitoring the person's remaining in visa status. The office on campus charged with issuing J-1 visa permission works with the appointing unit and the visiting scholar on such compliance issues.

The burden of cost for the visa application process will be determined based on university guidelines.

Visiting Scholar Appointments cannot later become the basis for applications for employment-based permanent residency.

Visiting Research Student Appointments are provided to students at other institutions who are invited to campus to pursue research or other scholarly projects for a limited time and do not have an expectation of taking courses – usually a summer or single semester, but they may be as long as two years. Visiting Research Students must be enrolled in a degree program at another university, at either the undergraduate or graduate level.

Visiting Research Students differ from exchange students in that they are not expected to take classes at UMass Dartmouth, and there is no guarantee that any courses taken at UMass Dartmouth will be accepted for credit at their home institutions. If they wish to enroll in courses, they must get permission from their research supervisor and if approved they must register as special non-degree students. They are required to pay all tuition and fees.

Visiting Research Students may not be matriculated students at UMass Dartmouth and they are not eligible for assistantships, financial aid or any student employment beyond that described in their appointment contract.

Selection of Visiting Research Students does not require a hiring search, but the process and criteria used to select the visiting student must be identified and documented.

Compensation

Visiting Research Students may be compensated for their work if funds are available, but they are not eligible for financial aid, assistantships or student employment beyond that specified in their letter of appointment.

Visiting Research Students who receive compensation from UMass Dartmouth must sign a participation agreement indicating their understanding of the intellectual property policies of the university.

Approval of Appointments for Visiting Research Students

Final approval for visiting student appointments is made by the Dean.

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Colleges may determine their own processes for appointment approval; but each college should describe the process they will be using for the selection of compensated visiting students and forward the description to Human Resources for approval. Case by case Human Resources approval is not required for appointments that are made using a Human Resources approved process. Colleges may have different processes for selecting different categories of visiting research students – i.e. students visiting different departments or engaging in different activities.

Appointment of a foreign national to a position as a Visiting Research Student requires approval from the UMass Dartmouth Director of Compliance to maintain deemed export control.

For compensated Visiting Research Students approval from all people with budget authority for the financial support must be secured including the Office of Research Administration if grant funds are to be used.

All approvals should be secured prior to forwarding the appointment request to Human Resources.

Appointment letters for uncompensated Visiting Research Students that delineate the terms of appointment are issued by the appropriate Dean with a copy to Human Resources.

Appointment letters for compensated Visiting Research Students are issued by Human Resources.

Renewal

Visiting Research Student appointments may only be renewed under unusual circumstances. Request for renewal must be approved by the Provost.

Non-immigrant Visa (if required)

If the individual needs a non-immigrant visa, it would usually be the J-1 visa. The office on campus charged with issuing J-1 visa permission will assist the unit inviting the individual by contacting the individual to learn personal and official information needed for submission of the forms that result in the requisite visa. If there is limited time, the office can begin the visa paperwork before the approval is final. Issuing of visa forms will not occur until the honorific appointment has been fully approved.

It is a requirement for the J-1 visa that we have on record clear documentation of the nature, scope, and results of the appointment and the appointee's qualifications, as indicated above. The J-1 visa is issued for the purpose of full-time pursuit of the described project and activities; there are specific conditions and limitations regarding work for compensation, travel, dependents, etc., and we are accountable for monitoring the person's remaining in visa status. The office on campus charged with issuing J-1 visa permission works with the appointing unit and the visiting student on such compliance issues.

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The burden of cost for the visa application process will be determined based on university guidelines.

Visiting Research Student Appointments cannot later become the basis for applications for employment-based permanent residency.

Adjunct Faculty Appointments are extended to individuals who are employed or retired from institutions other than the University of Massachusetts Dartmouth and who do not hold any other permanent position at UMass Dartmouth. These individuals are expected to have sustained collaborative research or other intellectual involvement with the faculty of an academic department/program at UMass Dartmouth. Their collaboration with the department might include participation on student thesis committees, research projects, and presentation of seminars or lectures. Adjunct faculty benefit UMass Dartmouth by enhancing the quality of its research and education.

Criteria

Professional accomplishments of candidates for adjunct faculty should be comparable to those holding equivalent academic positions, as judged by department faculty. Although expectations may be different from those holding academic vs. industrial experiences, criteria should focus on research productivity, educational contributions, and professional standing.

Responsibilities & Privileges

- Adjunct faculty members may be primary thesis or project advisors for graduate students.
- Adjunct faculty members may be co-PIs on proposals written from the university.
- Attendance at faculty meetings is only by invitation.
- Adjunct faculty appointment does not constitute or implicate a conventional employment relationship.
- In any formal representation of the appointment the full and correct title must be used.
- Appointees observe all relevant UMassD policies and procedures as delineated in the faculty handbook. <http://www.umassd.edu/faculty/handbook/welcome.cfm>

Benefits

- Adjunct faculty are entitled to a UMassD email account and library privileges.
- Resources such as office space and secretary time, may be provided at the discretion of the department chair.
- Adjunct appointments are honorary and do not include a salary or consulting fees.
- Adjuncts may be hired as consultants, subject to all the rules and regulations relating to consulting contracts. Adjunct appointments neither help nor hinder the ability of an individual to be hired as a consultant.
- Adjuncts may be hired as part-time lecturers. Adjunct appointments should neither help nor hinder the ability of an individual to be hired as a part-time lecturer.

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Appointment Process

A faculty sponsor within a department may nominate a candidate for adjunct status in his/her department. Any full-time faculty member may make the nomination. The department will review the candidate's credentials and assure that the appointment meets the purpose and criteria above and to decide on the level of the appointment – adjunct assistant professor, adjunct associate professor or adjunct professor. For an individual who holds a full-time faculty appointment at another university the rank of the adjunct appointment must be the same as the rank he/she holds at his/her home institution. Approval of the appointment is initiated by a vote of the tenured faculty in the department and approval of the chairperson. If approved, the department shall forward a letter or memorandum to the Dean explaining the purpose of the appointment and include a CV, visa/export control status, and contact information. The Dean will recommend appointments to the Office of Human Resources.

Appointment of a foreign national to a position as an Adjunct Faculty Member requires approval from the UMass Dartmouth Director of Compliance to maintain deemed export control.

When the paperwork is approved, the adjunct faculty member will receive a letter of appointment from the Dean that delineates the terms of appointment. The letter must be signed by the appointee and returned to indicate acceptance.

The term of appointment is three years and is renewable subject to sustained productive collaboration. Adjunct faculty positions are never tenured and adjunct faculty are not eligible for tenure at UMass Dartmouth.

The individual recommending the candidate is responsible for supervising the appointee and will serve as the point of contact for any administrative matters that arise.

The Dean will forward a copy of signed letters accepting adjunct appointment to Human Resources.

Renewal

Renewal requires recommendation of the faculty sponsor and approval of the chair who will forward their recommendation to the Dean. Renewal does not require a departmental vote.

The Dean will forward a copy of signed letters accepting adjunct appointment to Human Resources.

Compensation

Adjunct faculty do not receive any monetary compensation for their role as adjuncts and adjunct faculty status cannot be the basis for issuance of a visa.

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Faculty who require a visa must seek either a visiting scholar or research faculty appointment.

Affiliate Faculty Appointments are extended to individuals who are full-time faculty or faculty emeritus at UMass Dartmouth in a department other than the one making the affiliate appointment. These individuals are expected to have sustained collaborative research or other intellectual involvement with the faculty of the affiliated department/program. Their collaboration with the department might include participation on student thesis committees, research projects, and presentation of seminars or lectures.

Affiliate appointments differ from contractually identified joint appointments in that departments with whom a faculty member is merely affiliated do not have any role in evaluation, base salary distribution or assignment of responsibilities for the affiliated faculty member. Faculty activity in departments in which they hold affiliate appointments is entirely voluntary. In addition, when an affiliate appointment is made, the faculty member's home department is notified, but the home department does not approve the affiliate appointment.

Responsibilities & Privileges

- Affiliate faculty members may be primary thesis or project advisors for graduate students.
- Affiliate faculty may propose courses to the departmental curriculum committee.
- Affiliate faculty may act as student advisors if they so choose and the chair assigns them advisees.
- Attendance at faculty meetings is only by invitation.

Appointment Process

A faculty sponsor within a department may nominate a willing candidate for affiliate status in his/her department. Any full-time faculty member may make the nomination. The department will review the candidate's credentials and assure that the appointment meets the purpose and criteria above. Approval of the appointment is initiated by a vote of the tenured faculty in the department and approval of the chairperson. If approved, the department shall forward a letter or memorandum to the Dean, with a copy to the chair of the faculty member's home department, explaining the purpose of the appointment. The term of appointment is three years and is renewable subject to sustained productive collaboration.

The Dean will forward a copy of appointment memorandum to Human Resources for inclusion in the appointee's personnel file.

Renewal

Renewal requires a statement of interest in renewal from the affiliate faculty member and approval of the chair who will forward a memorandum to the Dean. Renewal does not require a departmental vote.

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The Dean will forward a copy of appointment memorandum to Human Resources for inclusion in the appointee's personnel file.

Compensation

Affiliate faculty do not receive any monetary compensation for their roles as affiliates.

Responsibility

Provost

Review requests for renewal of appointments for Visiting Scholars and Visiting Students to make sure they are not being used to mask long-term appointments.

Dean

- Ensure academic qualifications are met for all honorific appointees.
- Issue letters of appointment for uncompensated Visiting Scholars, uncompensated Visiting Students and Adjunct and Affiliate Faculty.

Compliance Officer

Review all honorific appointments of foreign national to ensure compliance with deemed export control.

Human Resources

- Verify appropriate selection process for compensated visiting students.
- Verify appropriate compensation levels for honorific appointments that include compensation.
- Issue appointment letter for compensated Visiting Scholars and compensated Visiting Students.

Policy Changes

The Division of Academic Affairs and Office of Human Resources will review this policy every five years.

This procedure is effective on the date of signature.

Recommended by: 
Provost

Date: 01-10-2019

Approved by: 
Chancellor

Date: 4/11/18

