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Title: Joint Appointments: General Principles for Joint Appointments between LANL and University Partners

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Joint Appointments

General Principles for Joint Appointments between LANL and University Partners

The Joint Appointment Program provides opportunities for LANL and partner universities to recruit, retain, and recognize premier scientists and engineers by offering them the ability to work in both the LANL and university environments. These interactions enhance the ability of both institutions to achieve their respective research and development missions while providing increased academic strength to educational institutions.

The Joint Appointment Program provides a mechanism for LANL and university scientists and engineers to deepen collaborative opportunities and to execute specialized technical work that requires the specialized skills and facilities at LANL and the university. The Program widens the window for workforce development and recruitment. The parties share responsibility for overall management of the Program, including training and employee support, research, student advising, teaching responsibilities, project and grant support and development, administration of collaborations and partnerships, stewardship of publication, development of intellectual property and commercialization, and general career development.

The Joint Appointment program is modeled after similar programs at other facilities in the DOE complex, and was run as a successful pilot program with the New Mexico Consortium. Based on that trial experience, LANL has launched a new program direct with partner universities.

Joint Appointment Basics

- Establishment of a Joint Appointment program between LANL and a partner institution requires a *Master Joint Appointment* (MJA) agreement signed by senior managers of both institutions.
- *Individual Joint Appointments* (IJA) are open to LANL technical staff and faculty at selected research institutions that have signed Master Joint Appointment agreements. Each Individual Joint Appointment must be approved by both institutions.
- Individual Joint Appointees are always an employee of only one institution, but they may indicate that they are affiliated with both institutions. For example, Joint Appointees may identify their affiliation with both institutions on papers, presentations, signature block on mail and email, and business cards.
- Individual Joint appointments are for a fixed term, renewable upon mutual agreement. As term appointments, Individual Joint Appointees are not tenured, nor are they on a tenure-track.
- Individual Joint Appointments are made into an existing organizational unit, and Joint Appointees are treated as members of the unit (Academic Department or LANL Technical Group), including selected faculty privileges granted by an academic partner.
- Individual Joint appointments are negotiable between 0% and 50% FTE. Exceptions may be granted for special circumstances such as sabbatical assignments.
- Individual Joint appointees do not have two employers; therefore, they receive paychecks and benefits from only their home institution.



Master Joint Appointment agreements are signed by senior leaders at both institutions. Above, NM Tech President Steven Wells and LANL Director Terry Wallace sign an MJA in October 2018.

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- If Intellectual Property (IP) is developed jointly by employees of both institutions, then both institutions share ownership of the IP.

Types of Appointments

The Master Joint Appointment (MJA) agreement allows two types of individual joint appointments (each way):

Basic Joint Appointment: No funds are transferred between institutions for this appointment type. The LANL Joint Appointee may teach at a university, and the university Joint Appointee may work at LANL; the JA may mentor students at either institution. The JA may pursue program development through collaborations, submit proposals, and develop curricula.

Research Joint Appointment: This appointment can be funded at either institution. The LANL Joint Appointee may perform funded research at the university, and the university Joint Appointee may perform funded research at LANL. The Joint Appointee employee is loaned to the partner at a reduced JA assignment indirect rate, normally set to be an offsite rate and reciprocated by partners.

For funded appointments, the Joint Appointee's salary, fringe, and offsite indirect costs are reimbursed to the home employing institution for activities that are funded.

- If a LANL staff member with a Joint Appointment is performing work on a project funded through the university, the Joint Appointee's hourly salary, fringe, and indirect are recovered under the grant. LANL invoices the university who reimburses LANL for the salary, fringe and JA assignment cost.
- If a university faculty member is on a project funded through LANL, LANL provides funding to the university through a university subcontract.
- Joint Appointees therefore look like an employee, can act as a Co-PI on a proposal, and both institutions are able to recover costs on funded Joint Appointments.

Eligibility and Selection Process

LANL and the partner university cooperate to identify candidates for Individual Joint Appointments. Only those LANL employees specifically identified and approved by LANL may participate in the Joint Appointment Program and only for

opportunities that have been specifically approved by LANL and the academic partner.

Each appointee must be approved by a LANL Associate Laboratory Director (ALD) and the university department head, dean, provost, or other officials identified by the Master Joint Appointment agreement. Each IJA will be evaluated against a common set of criteria agreed upon by a Joint Management Team (JMT). The JMT will include representatives appointed by both the LANL National Security Education Center and the partner university Offices of the Vice President for Research and/or Vice President for Academic Affairs.



Forrest Brown

Stuart Maloy

Markus Hehlen

Individual Joint Appointments (IJA) with UNM have allowed LANL staff such as Forrest Brown (left) and Stuart Maloy (center) to have distinguished National Lab Professor appointments for teaching, or Markus Hehlen (right) to conduct research through a UNM campus department.

Joint Management Team (JMT)

The JMT is comprised of LANL and partner university members including managers, who jointly manage all research within the initiative.

The JMT is responsible for establishing a management plan and ensuring it is followed. The JMT typically meets twice annually and provides a brief update to the cognizant Associate Laboratory Director and University department head to ensure:

- The technical scope and strategic objectives of the initiatives are met.
- The technical scope of the initiative is limited to defined areas established by joint agreement.

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- All intellectual property rights and obligations are clearly understood and align with the IP provisions of the Master Institutional Agreement.
- That individual performance expectations are clear.
- The Joint Appointee adheres to applicable institutional policies and procedures at both the home and host institutions. Where policies and procedures conflict, the more restrictive requirements apply.

Benefits

Both institutions benefit from Joint Appointments by:

- Providing opportunities to recognize premier staff
- Increasing opportunities for collaborative research
- Providing access to specialized facilities and instrumentation
- Giving students and postdocs access to expanded educational, research, and career opportunities

Benefits to university faculty:

- Access to LANL staff expertise, and LANL experimental and computational facilities
- Ability to participate on DOE/NNSA projects and proposal opportunities
- Knowledge of DOE/NNSA and LANL strategic goals and objectives

Benefits to LANL staff:

- Access to university facilities, shared equipment, and user facilities
- Ability to lead and/or participate on projects and proposals, for which LANL would otherwise be ineligible as a university faculty member (or equivalent)
- Ability to teach classes to undergrad and graduate students, and to mentor/supervise undergrad and graduate students as a member of the faculty (or equivalent)

For More Information

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