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NEW FACULTY STARTUP

Introduction

It is recognized that individuals who are invited to join the tenured and tenure-track faculty of UMass Boston will require resources to support the initiation of their academic and scholarly careers. These resources include the expertise of university professional staff members as well as the allocation of space, equipment, and supplies. The former is exemplified by such events as the orientation for new faculty members. The latter ranges from the assignment of an office to the creation of a laboratory and the purchase of specialized research equipment.

Within a reasonable period of time, the new faculty member is expected to organize and deliver high-quality educational experiences to students in and outside the classroom in a variety of modalities, and to show promise of scholarly accomplishment with demonstrable products, such as the submission of manuscripts for publication review and the submission of grant proposals to extramural sponsors for the support of research or creative activities. The faculty member who successfully launches and builds his or her career may subsequently be rewarded with reappointment, promotion, and tenure.

Although the university has expectations for the research and scholarly activities of all new faculty members, the university has increased expectations for those new faculty members who are provided with substantially increased resources to support the initiation of their careers at UMass Boston. The purpose of this document is to outline a procedure concerning the identification of resources for the purchase and installation of specialized research equipment and the creation or refurbishment of a research facility for a new faculty member. For the remainder of this document, these resources will be referred to as startup.

Procedure

- 1. Basic startup costs.** The department chairperson and the dean of the academic unit are responsible for providing basic startup for all new faculty members joining the university in the unit. Included in this category of costs are the assignment of an office and allocation of office furniture; installation of telephone and network connections; assignment, as appropriate, of the services of a support staff member, graduate assistant, and research assistant; and assignment of or access to existing facilities, as appropriate, for scholarly and creative activities (e.g., research laboratory, studio, practice room).

2. **Standard startup costs.** The Office of the Provost and Senior Vice Chancellor for Academic Affairs provides basic information technology equipment¹ to all new faculty members. In addition, the provost also provides to the dean of the academic unit an amount for new faculty startup that is calculated by multiplying the total number of new faculty members² by \$3,000. It is the provost's intention that the total amount will be allocated by the dean for new faculty development support (e.g., purchase of research supplies or specialized software, travel to professional meetings, cost of a research assistant) according to the needs of each new faculty member. That is, a new faculty member may receive from the dean resources that total more or less than \$3,000. In addition, the dean and the department chairperson may choose to allocate additional resources from budgets they control to supplement the amount provided by the provost for new faculty members. The provost's allocation to the dean occurs as close to the start of the new fiscal year in July as possible so as to be available when the new faculty members arrive on campus for the start of the academic year. Funds allocated by the provost for standard startup that remain unexpended are swept on June 30th of the fiscal year and reallocated to new faculty startup in the next personnel cycle.

3. **Extraordinary startup costs³.** It is anticipated that certain faculty positions for which a search has been approved by the provost may require the provision of extraordinary supplies and equipment, or the creation or refurbishment of specialized space, with combined costs in excess of \$10,000, to support the startup of research and creative activities. These positions are typically located in laboratory science departments (e.g., chemistry, biology, physics, engineering, computer science, environmental, earth, and ocean sciences), but may also be located in social and behavioral sciences (e.g., psychology, gerontology, anthropology), allied health sciences (e.g., nursing, exercise science), and the fine and performing arts. It is the responsibility of the dean of the academic unit to negotiate with the vice provost for research the maximum amount that will be allocated for an appropriate startup package for each such position prior to the submission of the unit's faculty staffing plan to the provost. If the proposed faculty position is approved for a search, the provost will notify the dean of the approved rank and salary, as well as the approved maximum amount for the startup package and how the cost of the package will be shared between the chairperson, dean, and vice provost for research. In most cases, the cost of the extraordinary startup package will be divided 33/33/33 (department/dean/vice provost for research), in some cases the cost will be divided 50/50 (dean/vice provost for research), and in other cases the cost sharing will be divided unequally among the participating university sponsors. Unless otherwise approved by the vice provost for research, all extraordinary startup package accounts (see guideline #6) will be limited to a maximum of 3 years. In the rare case of very large startup costs (e.g., the building and

¹ Purchases of IT equipment must comply with standard university purchasing procedures. Purchasing workstations from designated manufacturers and distributors in large quantity yields substantial discounts to the university.

² Specifically excluded from this number are current faculty members who are beginning an appointment as a department chairperson. Specifically included in this number are current administrative and professional staff members with faculty rank who are leaving their position to return to a full-time regular faculty position.

³ Extraordinary startup costs are in addition to the basic and standard startup costs for each new faculty member described in guidelines #1 and #2.

equipping of a special purpose research laboratory), the Office of Institutional Advancement will be asked to secure from donors all or a significant portion of these costs, or the university may decide to secure the funds by short-term borrowing through the Division of Administration and Finance. The approved search for the faculty position may need to be deferred until commitments for the necessary resources have been obtained.

4. **Negotiation of extraordinary startup package with candidate.** When the faculty search process has reached the stage of proposing to a candidate that he or she be recommended for appointment to an approved position, the department chairperson or dean will enter into negotiations with the candidate to determine the exact nature and amount of the extraordinary startup package. The department chairperson or dean will develop a list of the elements of the extraordinary startup package and the associated costs (e.g., renovation of laboratory or other research space, specialized research equipment and supplies, special travel expenses, assignment of research, laboratory, or field assistants). The negotiations should start below the approved maximum for the startup package and can proceed only up to the maximum (see guideline #3). If, in order to close the negotiations with a desired candidate, the chairperson or dean needs resources beyond the maximum, then the chairperson or dean must receive the approval of the vice provost for research before agreeing to provide those additional resources. In all cases both the appointment of the faculty member and the provision of the startup package are subject to the final approval of the provost following review of the details of the appointment and the startup package.
5. **Extraordinary startup package use plan.** The department chairperson and dean convey professorial performance expectations for teaching, research, and service that are appropriate for any new faculty member who joins the department. For a new faculty member who is to be provided with an extraordinary startup package, these expectations will also include a written plan for the use of the startup package. That is, the startup package is provided with the expectation that the new faculty member assemble a portfolio of research and scholarly activities within a particular time. This portfolio will include such products as the submission of manuscripts for publication review, the exhibition or performance of creative products, the recruitment of students to a performance studio, or the development and submission of grant proposals to extramural sponsors for ongoing support of research or creative activities. The exact nature of the portfolio will vary with the department, the position, and the characteristics of the startup package. It will be the responsibility of the department chairperson and the dean to provide the provost and the vice provost for research with a copy of the written startup plan and periodically to provide the provost with appropriate documentation that the new faculty member is meeting the expectations for research and scholarly activity that are contained in the plan.
6. **Extraordinary startup package account.** After the provost has approved the offer of employment, the vice provost for research will request that the budget office establish a unique account for each new faculty member to be provided with an extraordinary startup package in excess of \$10,000. The various sponsoring parties will deposit funds into this account according to approved commitments (see guideline #3). The new faculty member will have sole authority to expend funds from the startup account, in accordance with university policy and subject to the appropriate approvals. Extraordinary startup package accounts are temporary and time limited. On June 30th of the third fiscal year (or last fiscal

year, if less than a three-year startup package) the extraordinary startup package account will be closed and the vice provost for research will return any unexpended balance to the sponsoring units in proportion to the provision of resources at the establishment of the account.

Additional Resources for New Faculty Startup

There are a number of additional sources of funding to underwrite the startup of the academic and scholarly careers of new faculty members. For example, the university awards small grants to faculty members through a competitive proposal process. These awards support such things as the initiation of projects that are likely to be funded by extramural sources through the submission of a grant or contract proposal. In addition, the vice provost for research has limited funds that are made available through the Office of Research and Sponsored Programs to faculty members who are pursuing extramural support for scholarly activities. These funds typically help to defray the costs of travel to visit historical sites or special archives, to consult with research colleagues, or to confer with a program officer about a project proposal.

The university recovers and distributes facilities and administrative (F&A) costs associated with sponsored projects to encourage and support additional sponsored research and creative activities of faculty members. It is the expectation of the provost that the F&A funds returned to deans and to departments will be used in part to support new faculty members as they seek and obtain extramural support for research and creative activities.

The university schedules research laboratory and studio renovations periodically as funds become available. The sources of funds to pay for these renovations include the general operating budget of the university, special state or federal appropriations, allocations of one-time funds at year-end, and donations made to the university. It is the responsibility of the department chairperson to develop and submit a request for any such renovations to the academic dean for forwarding to the provost.

Support of the academic and scholarly careers of new faculty members is a fundamental element of the mission of many of the academic support units within the university. Additional information on these special services can be obtained from the individual academic support unit or from the Office of the Provost and Senior Vice Chancellor for Academic Affairs.