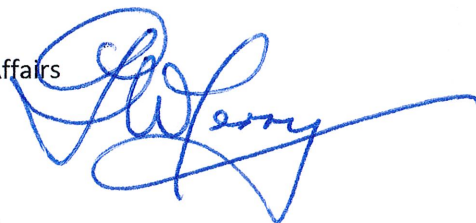


**Provost's Memorandum**

**TO:** Deans, Chairs, and Directors  
**FROM:** Gary W. Perry, Provost and Vice President for Academic Affairs  
**DATE:** March 17, 2015  
**SUBJECT:** **POLICY ON AFFILIATE FACULTY APPOINTMENTS REVISED**  
**(Supersedes prior policies and memoranda)**



An affiliate appointment is an appointment conferred to a person who meets the unit's professional qualifications and has been offered special privileges at Florida Atlantic University. Depending upon the academic discipline, specific custom or practice, the affiliate appointment may be titled with the modifier of Courtesy, Affiliate or Volunteer. The purpose of this policy is to state the conditions under which affiliate appointments are made.

**Policy:**

An affiliate appointment may be extended by an academic unit to a person who meets the unit's professional qualifications, but whose primary assignment is outside the unit or outside of the university. Affiliate appointments may or may not include compensation, and may include special privileges in accordance with normal general faculty qualifications. These appointments will only be extended to individuals who have the potential to enhance the academic life of the faculty and students in the unit.

**Guidelines:**

1. An affiliate appointment is a faculty appointment which may or may not include compensation.
2. An affiliate appointment may include special faculty privileges as detailed in the appointment letter, such as eligibility to:
  - a. Obtain a University identification card
  - b. Use of University library
  - c. Purchase a University parking decal at Adjunct Professor rates
  - d. Obtain a University e-mail address
  - e. Use laboratory space, in accord with University policy and space availability
  - f. Participate in College and Department/School activities, on a non-voting basis
  - g. Serve on graduate committees, subject to the approval of the Dean of the Graduate College
  - h. Participate in grant and contract endeavors, subject to the approval of the Vice President of Research
  - i. Teach a course

3. An affiliate appointment is made in accordance with regular faculty qualifications.
4. An affiliate appointment must be completed for any faculty who is appointed and is not being paid by salary or OPS funds.
5. Affiliate appointment letters must state a fixed term, with fixed beginning and ending dates. The appointment will terminate at the end of the term. Subsequent appointments may be proposed by the College and the relevant paperwork forwarded to the Provost's Office. The affiliate appointment letter must clearly state that any affiliate appointment may be terminated at will for any reason at any time during the term by either the appointee or by the university.
6. The University and the affiliate faculty member each reserve the right to terminate the affiliate appointment at any time for any reason with or without notice.

**Procedure:**

1. The candidate for this appointment should be academically evaluated by the Department/School in the same manner as a candidate for a regular faculty appointment. On this basis, the Department/School should propose a specific academic title (Instructor, Assistant Professor, Research Assistant, etc.) with an appropriate modifier. Depending upon discipline, specific custom or practice, the modifier may be Courtesy, Affiliate or Volunteer.
2. The Department/School should forward the request to make such an appointment to the Dean for approval. The request should be accompanied by a curriculum vitae and official transcript, if required\*, and should indicate the term and what specific privileges will be afforded to the affiliate faculty member.
3. If approved, the Dean will send a Letter of Appointment to the candidate, together with an Affiliate Appointment Personal Data sheet to be filled out. The letter must include the following:
  - a. A statement indicating the academic title.
  - b. A statement indicating the modifier – affiliate, courtesy or volunteer.
  - c. A statement that it is a non-tenure earning appointment and, if appropriate, carries no financial obligation on the part of the University.
  - d. A statement on academic appointment background checks and loyalty oath if the candidate will be working with students. Background checks may not be required for affiliate faculty with no student contact, or for those in limited roles restricted to serving on thesis and dissertation committees.
  - e. The specific privileges being extended to the faculty member.
  - f. The time period for the appointment term.
  - g. A statement regarding the mutual right to terminate the appointment at will during the term.

Upon acceptance, the Dean will send the signed and accepted Letter of Appointment and the Affiliate Appointment Personal Data Sheet to the Office of the Provost.

\*Transcripts are required for all affiliate appointments when they will be the faculty of record for a course. The Department/College may require a transcript for other reasons as well.

Cc: Daniel Flynn, Vice President, Division of Research

Diane Alperin, Vice Provost, Academic Affairs

Megan Davis, Interim Executive Director, HBOI



FOR AFFILIATE  
APPOINTMENTS ONLY

FLORIDA ATLANTIC UNIVERSITY  
AFFILIATE APPOINTMENT PERSONAL DATA SHEET

**EMPLOYEE:** Please Print or Type, then return  
completed forms to your respective department.

1. Social Security Number\*: \_\_\_\_\_
2. Last Name: \_\_\_\_\_
3. First Name: \_\_\_\_\_ M.I. \_\_\_\_\_
4. E-mail Address: \_\_\_\_\_
5. Date of Birth: \_\_\_\_\_
6. Gender: M \_\_\_\_\_ F \_\_\_\_\_
7. U.S. Citizen: Y \_\_\_ N \_\_\_ (if No, what is your status? \_\_\_\_\_)
8. Ethnicity: Hispanic or Latino \_\_\_\_\_ Not Hispanic or Latino \_\_\_\_\_ Race: \_\_\_\_\_
9. Work Address: \_\_\_\_\_
10. Work Telephone Number: \_\_\_\_\_
11. Home Address: \_\_\_\_\_
12. Home Telephone: \_\_\_\_\_
13. Emergency Notification  
Person to Contact: \_\_\_\_\_ Relationship: \_\_\_\_\_  
Address: \_\_\_\_\_ City, State, Zip: \_\_\_\_\_  
Telephone Number: \_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

FOR FAU/COLLEGE USE

Z Number: \_\_\_\_\_ (New appointees – please leave blank)  
Dates of Appointment: From \_\_\_\_\_ To \_\_\_\_\_  
Home Org: \_\_\_\_\_  
Employee's Campus Location: \_\_\_\_\_ Tel. Ext.: \_\_\_\_\_  
Div./College: \_\_\_\_\_

\* Authorized by §119.071(5), F.S., 8 USC §1324(a) and 42 USC §653(a).

\* **DEPARTMENT:** Return both forms (Pages 1 and 2) to Provost's Office after EPAF has been completed.



FOR AFFILIATE  
APPOINTMENTS ONLY

## FLORIDA ATLANTIC UNIVERSITY

**EMPLOYEE:** Please Print or Type, then return  
completed forms to your respective department.

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Florida Atlantic University is required to obtain the following information. Your cooperation is appreciated.

Have you ever been charged with a violation of the law which resulted in probation, community service, a jail sentence, the revocation or suspension of your driver's license?

( ) YES

( ) NO

If your answer is "yes" to the above question, please provide a statement of all relevant facts in the space below.

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(Print name)

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(Signature)

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(Date)





## FLORIDA ATLANTIC UNIVERSITY

### Social Security Number Collection & Usage

In accordance with Section 119.071(5), Florida Statutes, this document denotes the purpose and legal authority for the collection, disclosure, and usage of social security numbers by Florida Atlantic University ("FAU" or "University"). FAU collects social security numbers (SSNs) only as specifically authorized by law or if imperative for the performance of our duties and responsibilities as prescribed by law. FAU takes appropriate measures to secure SSNs from unauthorized access and does not release SSNs to other parties except as authorized by law or as necessary for the fulfillment of our duties and responsibilities. FAU may assign unique student/employee identification numbers for use where practical. This unique ID number may be used for associated employment and educational purposes at FAU. In instances where the unique ID number is not sufficient, an SSN will be required for the legitimate business purposes as outlined below.

<b>ADMISSIONS</b> Federal legislation relating to the Hope Tax Credit requires that all postsecondary institutions report student SSNs to the Internal Revenue Service (IRS). This IRS requirement makes it necessary for FAU to collect the SSN of every student. If a student refuses to disclose his or her SSN for this purpose, he or she may be subject to IRS penalties.	Authorized by 26 USC §6050S
<b>CONTROLLER'S OFFICE</b> SSNs are required to issue a W-2 (Wage and Tax Statement) and direct deposit forms require use of SSNs to verify against bank records. The Controller's Office may use and/or request SSNs from vendors and/or students to facilitate direct pay of an honorarium in compliance with Financial Information Reporting, Tuition Payment Statements (1098T) and Miscellaneous Income (1099) or the completion of a W9 for Consultant Service. SSNs are also disclosed for collections purposes to authenticate identity.	Authorized by 26 USC §§3402(f)(2)(A), 1441, 6109, 6050S and §119.071(5), F.S.
<b>FINANCIAL AID</b> <i>Non Veteran Students:</i> The Student Financial Aid Office uses SSNs in the application process for determining financial aid eligibility. The SSNs are used to identify students by the Florida Office of Student Financial Aid and the US Department of Education. SSNs are also used to transmit student data to ELM Resources, a third party agency that processes Federal Stafford loan data to lenders and guarantors on behalf of student applicants for loans. Every student must report his or her SSN on the FAFSA. If a SSN is not provided, the FAFSA will not be processed. Similarly, a student who does not have a SSN is not eligible to obtain a Federal Student Aid PIN.	Authorized by Title IV of the Higher Education Act of 1965, as amended (§§483 and 484) and 20 USC §1091
<b>FINANCIAL AID</b> <i>Veteran Students:</i> The Student Financial Aid Office uses SSNs in the Veteran Certification form to process the veteran students' VA benefits. If a SSN is not provided, the VA certification process will not be processed in the VA ONCE web system; The Veteran student will not receive his/her VA benefits.	38 U.S.C. sections 3684 and 3685; 38 CFR sections 21.4203, 21.4209, 21.7156, 21.7307, 21.7656, 21.7807, and 21.5200
<b>HARBOR BRANCH OCEANOGRAPHIC INSTITUTE</b> HBOI at FAU uses SSNs on the Federal Drug Testing Custody and Control Form for DOT-required drug test chain of custody.	Authorized by 49 CFR Part 40





## FLORIDA ATLANTIC UNIVERSITY

<b><u>HUMAN RESOURCES</u></b> SSNs are used for legitimate business purposes in compliance with completion and processing of the following forms: Federal I-9 (Department of Homeland Security); Federal W4, W2, 1099 (Internal Revenue Service); Federal Social Security taxes (FICA); Processing and Distributing Federal W2 (Internal Revenue Service); Quarterly Unemployment Reports (FL Dept of Revenue); Florida Retirement Contribution reports (FL Dept of Revenue); Workers Comp Claims (FCCRCM and Department of Labor); Direct Deposit Files (affiliate banks); 403b and 457b contribution reports; group health, life and dental coverage enrollment; various supplemental insurance deduction reports. In addition, SSNs are collected in accordance with FCRA through a TPA in conducting pre- and post employment background investigations for prospective and promotion-eligible employees pursuing student, faculty, staff positions, and volunteer or courtesy appointments.	Tax-related uses are authorized by 26 USC §§3402, 3406, 1441 and 6109. Benefits-related uses are authorized by §§119.071(5), F.S. Background/employment-related uses are authorized by 8 USC §1324(a) and 42
<b><u>POLICE</u></b> National and state law enforcement databases utilize SSNs as unique identifiers. Florida law authorizes state and local agencies to access criminal justice information systems. SSNs are used as the unique identifier that accommodates a key search. Absent fingerprints, an SSN is the most reliable to query and to input data. The Police Department's records management system also contains social security numbers for individuals listed on incident reports. SSNs are collected from individuals listed on incident reports as they are unique identifiers that are the most reliable way to retrieve information from the National and State law enforcement databases. SSNs are also used by traffic & parking services for accounts of unaffiliated personnel who are referred to accounts receivable.	Authorized by §119.071(5),
<b><u>PURCHASING</u></b> The Purchasing department may request SSNs from vendors and/or students to facilitate direct pay of an honorarium in compliance with Financial Information Reporting or the completion of a W9 for Consultant Services.	Authorized by 26 USC §§3402, 3406, 1441, 6109 and §119.071(5), F.S.
<b><u>REGISTRAR</u></b> The University Registrar uses student SSNs on official transcripts and for business purposes in accordance with parameters outlined by the US Department of Education.	Authorized by §119.071(5), F.S.
<b><u>UNIVERSITY ADVANCEMENT/ALUMNI AFFAIRS</u></b> The Division of University Advancement/Alumni Affairs is staffed with University officials charged with advancing the mission and goals of the University through outreach initiatives, facilitating alumni relations and fundraising efforts. The Division has a need to access SSNs of University graduates for the sole purpose of locating "lost" alumni and confirming alumni identity and/or status (i.e. deceased). Quarterly address screenings of segments of the database (primarily "lost" alumni) require use of the SSN to confirm identity.	Authorized by §119.071(5), F.S.
<b><u>COLLEGES</u></b> SSNs are used by certain colleges in student applications for professional licensure, for contact and/or access to K-12 students and facilities, for background checks and verification of academic degrees and qualifications, and for placement tracking pursuant to the Florida Education and Training Placement Information Program.	Authorized by 42 USC §666(a)(13), §456.013 (1)(a), F.S., §1012.32(2), §1012.465(2), §119.071(5), §1008.39; and 8 USC §1324(a) and 42 USC §653(a)
<b><u>OTHER</u></b> SSNs may be used in other components of the University to authenticate identity when no other means are available and such authentication is imperative for that component's duties and responsibilities.	Authorized by §119.071(5), F.S.