RESEARCH ASSISTANT / ASSOCIATE FUNDING AUTHORIZATION FORM

IMPORTANT INFORMATION

A Research Assistant / Associate Funding Authorization Form must be completed prior to being hired as a graduate assistant/associate (GA). Both the student and the faculty funding advisor must complete and sign the form. The submission deadline for this form is [   ] Completed forms should be emailed to grad-funding@optics.arizona.edu. All forms submitted after this date will be considered late and may not be processed on time for the first pay period of the fall semester, possibly resulting in late fees! Note: A Graduate Student is not authorized to work, and Principal Investigator may not assign research project, until hiring is competed, and funding and student academic registration is verified by OSC Academic Programs, Accounting, and Human Resources. Retroactive hire/pay is not supported.

Office Use Only

PROFESSOR	
NEW HIRE	
ROLLOVER	
PCN Trans	
PD Trans	

STUDENT INFORMATION

Student Full Name (Last, First, Middle Initial)

Employee ID # (Student ID)   PCN# (office use)

Email Address   International I-20 End Date

UA GPA   ☐ MS ☐ PhD   Units Enrolled in Spring
Academic Program (check one)

STUDENT REQUIREMENTS CHECKLIST

By signing below, you confirm that you have read and met all student requirements below:

☐ 1. Students must have a minimum GPA of 3.0 and maintain a 3.0 GPA or more during employment.

☐ 2. Students must be enrolled in at least 6 graduate level units for the duration of GA employment and prior to submitting this form.

☐ 3. Students must complete the **Conflict of Interest (COI)** Training every 4 years and submit a disclosure form each year (by June 30).
   a. Navigate to: EDGE Learning https://arizona.sabacloud.com/
   b. Log into the disclosure form with your Net ID
   c. Complete the training and disclosure
   d. Print certificate of training and submit with this form if a new hire or renewed training completed (Not required if previously submitted within last 4 years.)

☐ 4. Students must complete **Responsible Conduct of Research (RCR)** Training every 4 years (either 4 hour online module or a 1.5 hour in-person workshop)
   a. Navigate to: https://arizona.sabacloud.com/
   b. Search and enroll in training titled "Online: Intro to Responsible Conduct of Research"
   c. Complete training
   d. Print certificate of training and submit with this form if a new hire or renewed training completed. (Not required if previously submitted within last 4 years.)

☐ 5. Students must complete **OSC Safety Training** one time
   a. Navigate to: https://www.optics.arizona.edu/osc-students/lab-safety-training
   b. Complete all three online safety trainings: Fire, Laser, Chemical
   c. Submit training certificates via the online form on the same page to verify training completion. Printed certificates not required and certificate does not expire. If completed previously, the training does not need to be repeated.

☐ 6. Ph.D. student will be promoted to Graduate Associate the semester after passing the PhD. Oral Comprehensive Exam.

☐ 7. As a GA, students may have employment benefits prorated for several different reasons, including: An FTE adjustment, the GA position started after the semester started, the GA position ended before the contract end date.

Student Signature   Date

POSITION INFORMATION

Position Type:

☐ Research Assistant *(Salary: .25 FTE = $5,437; .50 FTE= $10,875)*

☐ Research Associate *(Salary: .25 FTE = $5,986; .50 FTE= $11,973)*

RA Funding Period:

☐ Semester [   ]

RA Funding Level (FTE):

☐ 0.25 FTE (10 hrs / week)   ☐ 0.50 FTE (20 hrs / week)

FACULTY SUPERVISOR & ACCOUNT INFORMATION

Faculty Name [   ]   PCN# [   ]

Account # [   ]   Room # [   ]

Lab # that student will work in (if multiple, please list all): [   ]

RESEARCH ASSISTANT / ASSOCIATE RESPONSIBILITIES

**** Faculty must complete Risk Management / Export Control Questions Below & Complete Final Page ****

Indicate if the student will be participating in any of the following activities:

	Yes	No
Risk Management: Performing security sensitive functions as defined in the UA Pre-Employment Screening Policy		
Role will have significant financial oversight responsibilities		
Unsupervised contact with minors who are not enrolled students of the University of Arizona.		
Unrestricted access to residence hall rooms.		
Role has been designated by Dean or Vice President as "Security or Safety Sensitive"		
Driving on University business in UA, Rented, or Personal Vehicles		
Risk Management: Working in a laboratory setting with any of the following		
Hazardous Chemicals		
Bloodborne pathogens or other biological materials		
Radioactive Materials		
Lasers or other non-ionizing radiation		
Working in a non-laboratory setting with chemical or biological materials.		
Handling animals (living or deceased), animal tissues, fluids, or waste byproducts in a research setting.		
Performing work that requires personal protective equipment including respiratory and hearing protection.		
Export Control: Additional Information is available on the Export Control Website		
Have access to ITAR controlled data, technology, materials information, software or equipment?		
Have access to EAR controlled technology or encryption software code?		
Involved with a project that: a. Has restrictions on the releases of certain project information		
b. Has publication or access and dissemination restrictions		
c. Has a military connotation or end-use		
d. Is sponsored by a defense agency		
e. Is related to space, missile technology, or biological/chemical weapons		
f. Requires foreign national approval by sponsor or no foreign nationals are allowed		
Involved with a project that has a technology control plan in place		
Have reason to believe the applicant will need an export license(s)		

FACULTY REQUIREMENTS AND SIGNATURE

1. A GA is required to complete all assigned duties and responsibilities outlined by the hiring supervisor. Any special duties or arrangements must be articulated in writing prior to hire.

2. A GA on an academic contract is **not required to perform duties while classes are not in session** (ex. before the start of classes, after finals, winter break, spring break), unless the student and department agree (preferably in writing) about this prior to the appointment start date. If the student and department have agreed to additional duties, requiring additional pay, then the employee should be hired into an additional Supplemental Compensation position..

3. GAs are salaried employees. As such, their reported hours may not be reduced in most cases. During periods where a GA is concurrently enrolled, total on-campus employment may not exceed 20 hours per week (0.50 FTE).

4. International GAs on F-1 or J-1 visas are subject to additional restriction: their employment may not exceed 20 hours per week (0.50 FTE) while they are concurrently enrolled.

5. Any hours worked above a GA's designated FTE must be paid via supplemental compensation. A GA may also hold multiple positions so long as the total FTE does not exceed the restrictions.

6. The faculty advisor must complete and sign the Faculty Information including the Export Control Information portion of the form.

7. Students are required to be hired as a Research Assistant/Associate prior to work being performed. (Within 2 weeks)

8. Forms submitted after the due date may not be processed by the first pay period of the semester! Please email complete form directly to grad-funding@optics.arizona.edu.

9. A Graduate Student is not authorized to work, and Principal Investigator may not assign research project, until hiring is competed, and funding and student academic registration is verified by OSC Academic Programs, Accounting,and Human Resources. Retroactive hire/pay is not supported.

Faculty Signature

Date

**Note that Faculty must also complete the Export Control Review Form at the end of the funding packet. Please answer question #2 about the student you are employing. If the student is a non-U.S. Citizen, questions 3-5a must be answered. If you answer "yes" to questions 4-5a, then the bottom portion of the form must be filled out. Faculty and Student Do NOT sign the form; The Department Contact, Mark Rodriguez, will screen the student through RPS and will must sign the form to certify that the student was screened.

FOR OFFICE USE ONLY

Date Received

Academic Programs Signature

Date Received

Accounting Signature

HR / PAYROLL EXPORT CONTROL REVIEW CHECKLIST

Dept / College Contact	Mark Rodriguez		Date	
Dept / College	Wyant College of Optical Sciences			
Name of Potential Hire / DCC				
Name of Supervising PI				
PI Phone			PI Email	

			Yes	No
1.	Name of Individual Screened			
	Name of Affiliated Institution			
	Restricted Party Screening (RPS) through Visual Compliance must be conducted on ALL potential hires and DCCs with their affiliated institution. Screenings are to include: full name, physical address, and country. **If a "hit" (100% match to the party being screened) is received, check "YES" and consult the University Export Control Program (UECP) prior to completing this form.** (NOTE: A confirmed "hit" could require government authorization.)			
	Attach a copy of the RPS results to the MSS transaction and/or PAF along with this checklist. *A copy will also be maintained in the College/Department personnel files.*			
2.	Is the potential hire/DCC a non-U.S. person? (NOTE: U.S. Permanent Residents are considered U.S. persons.)			
	If Question 2 is "YES," complete the questions below. If "NO," you're done!			
3.	Is the potential hire/DCC a citizen of the following countries: Cuba, Iran, Libya, North Korea, Syria, or Sudan?			
4.	Will the potential hire/DCC be working (paid or unpaid) on a research project with a Technology Control Plan (TCP); i.e., is it an export controlled project?			
4a.	If "YES," provide KFS account number(s) and room number(s) associated with the project. KFS Account(s): [____] Building: [____] Room(s): [____]			
5.	If "NO" to question 4, will the potential hire/DCC be working on a different project but located in a lab/room where an export controlled project is conducted?			
5a.	If "YES", provide KFS account number(s) and room number(s) associated with the export controlled project. KFS Account(s): [____] Building: [____] Room(s): [____]			
If "**YES**" to checked to any of the questions 3 through 5a, forward to UECP (email@email.arizona.edu) this checklist along with job description. Government authorization might be required. Such authorization must be in place ***before*** the potential hire/DCC could work on the project.				

THIS SECTION FOR USE BY UECP				
Reviewed by	Wyant College of Optical Sciences		Date	
Comments / Notes				

Contact UECP (export@email.arizona.edu) if you have questions regarding the checklist.
Visit the UECP Website at: http://rgw.arizona.edu/compliance/export-control-program