

VI. APPOINTMENTS TO THE RESEARCH TRACK

A. Definition of the Research Track

There are two Research Tracks in the Medical School. The Research Scientist track consists of four ranks: Research Investigator, Assistant Research Scientist, Associate Research Scientist and Research Scientist. The Research Professor track consists of three ranks: Research Assistant Professor, Research Associate Professor, and Research Professor. A Research Investigator may be promoted to either track.

Research Scientist Track faculty actively contribute to the Medical School's research mission. Research Scientist Track faculty appointments are intended for individuals whose primary activity is research; either in a team science/co-investigator role or as an independent scientist

Research Professor Track faculty actively contribute to the Medical School research and teaching missions. Research Professor Track faculty appointments are intended for individuals whose primary activity is research; and who also teach and mentor within the context of research in the Medical School. Substantive curricular teaching by Research Professor Track faculty may be reflected in a fractional appointment in another track.

Research Scientist and Research Professor Track faculty (except for research investigators) are voting members of the Executive Faculty and University Senate, have representation on the Executive Committee of the Medical School and University Senate Assembly, and are candidates for emeritus/emerita status. They do not qualify for sabbatical leave but may be granted leaves for educational or training purposes.

B. Ranks and Criteria for Appointment and Promotion of Research Faculty

1. Research Scientist Track

Research Scientist Track faculty are typically part of a scientific team or have achieved independence in a research program and have demonstrated excellence in initiation, direction and completion of research projects. A record of peer-reviewed publications is expected.

Research Investigator

A person appointed to the position of Research Investigator must hold a doctoral degree or its equivalent in professional and technical experience and typically has completed two or more years of postdoctoral work. The typical candidate for this position is someone whose scholarly reputation is equivalent to a person who has recently completed a Ph.D. or M.D. and/or postdoctoral training and demonstrates evidence of potential for scholarship. Candidates for research investigator are not expected to have a record of Institutional citizenship or teaching, although achievement in these areas is a welcome addition.

Research investigator positions are intended for persons for whom a full-time career in research is expected. Appointments are recommended by the Department Chair or unit head, within the constraints of the University appointment procedures, and must be approved by the Dean's Office of Faculty Affairs. The time-in-rank limit for the Research Investigator is four years. The Research Investigator can be promoted to Assistant Research Scientist or to Research Assistant Professor on the Research Professor Track.

Assistant Research Scientist

Candidates who are appointed or promoted to this rank must have a record of publications in peer-reviewed journals. Participation at professional meetings is typically present. Candidates for Assistant Research Scientist should demonstrate potential for scholarly development, possibly as part of a larger research program.

Appointments and promotions to assistant research scientist require review by the Advisory Committee on Primary Research Appointments, Promotions, and Titles (APRAPT) and approval by the Medical School Executive Committee. The time-in-rank limit for the Assistant Research Scientist is six years. (A review of the Assistant Research Scientist's progress will be conducted by the Medical School upon completion of the third year in rank.)

Associate Research Scientist

Appointment or promotion to this rank requires a growing national and/or international scholarly reputation. Independence in research is not required, but may be developing as represented by a substantial record of collaborative funding as a team scientist (usually as co-investigator). There should be a strong and sustained record of publication in peer-reviewed journals, including a number of first-author and/or senior-author publications and evidence that this accomplishment will continue. A candidate for this rank should have a record of participation in or presentation at professional meetings.

Promotion to associate research scientist signals the passage into medical academia's senior rank.

Appointments and promotions to associate research scientist require review by APRAPT; approval by the Medical School Executive Committee; endorsement by the Dean, the Executive Vice President for Medical Affairs, the Vice President for Research, the Provost and Executive Vice President for Academic Affairs, and the President. There is no time-in-rank limit for the Associate Research Scientist. However, longevity in this rank is not sufficient evidence of accomplishment or merit for promotion.

Research Scientist

Appointment and promotion to this highest rank in the Research Scientist Track requires an internationally recognized record of continued excellence in research productivity and contributions. A Research Scientist will have a sustained record of first-author and/or senior-author publications in peer-reviewed journals. A Research Scientist will have served as principal investigator on center grants, major grants (e.g. NIH R01) or equivalent. A significant and sustained record of participation in relevant professional meetings is expected of a Research Scientist.

Appointments and promotions to research scientist require review by APRAPT; approval by the Medical School Executive Committee; endorsement by the Dean, the Executive Vice President for Medical Affairs, the Vice President for Research, the Provost and Executive Vice President for Academic Affairs, and the President.

9. Research Professor Track

Research professor track faculty must have achieved or demonstrated the potential for autonomy as independent scientists or as part of a scientific team and excellence in initiation, direction and completion of research projects. A record of substantial teaching and mentoring within the context of one or more research programs with postdoctoral fellows, junior research colleagues, or students at any level is an expectation in the Research Professor Track.

With regard to teaching/mentoring duties, the criteria by which the Medical school assesses individuals in the research track are specified below.

Criterion for the rank of Research Assistant Professor:

Expectation of substantial teaching and mentoring within the context of one or more research programs (e.g. laboratory bench science, social science, or other disciplinary settings) with postdoctoral fellows, junior research colleagues, or students at any level.

Criterion for the ranks of Research Associate Professor and Research Professor:

Record of substantial teaching, mentoring, and supervision within the context of one or more research programs (e.g. laboratory bench science, social science, or other disciplinary settings) with postdoctoral fellows, junior research colleagues, other trainees, medical students, or students at any level.

The term substantial with regard to teaching and mentoring is measured in two ways.

1. Quantity (i.e. that there should be evidence of a significant amount of teaching and/or mentoring), and;
2. Quality (i.e. that the teaching and/or mentoring done by the individual is effective and has significant impact on the students, fellows and colleagues being taught).

Research Assistant Professor

Candidates who are appointed or promoted to this rank must have an established record of publications in peer-reviewed journals in which they are a primary or senior author. Participation in national and international professional meetings is usually present. Candidates for Research Assistant Professor will have evidence of extramural funding (often mentored K awards and/or foundation grants); with a strong potential for independent "RO1 NIH type" proposals. Contributions to education and Institutional citizenship are typical. Candidates at this rank typically have documented teaching and mentoring within the context of one or more research programs with postdoctoral fellows, junior research colleagues, or students at any level.

Appointments and promotions to research assistant professor require review by the Advisory Committee on Primary Research Appointments, Promotions, and Titles (APRAPT) and approval by the Medical School Executive Committee. The time-in-rank limit for the Research Assistant Professor is six years. (A review of the Research Assistant Professor's progress will be conducted by the Medical School upon completion of the third year in rank.)

Research Associate Professor

Appointment or promotion to this rank requires independent, distinguished, and productive research that has been consistent over a number of years and has gained national or international recognition. There should be clear evidence of in obtaining significant independent external funding as principal investigator; past the level of initial research grants and fellowships. There should be a strong record of publication in peer-reviewed journals, including numerous first-author and/or senior-author publications and evidence that this accomplishment will continue. Many researchers appointed or promoted to research associate professor also have a substantial record of book chapters, abstracts, and textbook co-authorships.

A Research Associate Professor must have produced research that has achieved a national reputation. A candidate for this rank should have a record of invited national lectures, seminars, study sections, and *ad hoc* reviews. Candidates at this rank will have a record of substantial teaching and mentoring, both in quantity and quality, within the context of one or more research programs with postdoctoral fellows, junior research colleagues, or students at any level. Institutional citizenship is expected to achieve this rank but cannot substitute for distinguished research performance. Promotion to Research Associate Professor signals the passage into medical academia's senior rank.

Appointments and promotions to Research Associate Professor require review by APRAPT; approval by the Medical School Executive Committee; endorsement by the Dean, the Executive Vice President for Medical Affairs, the Vice President for Research, the Provost and Executive Vice President for Academic Affairs, and the President. There is no time-in-rank limit for this position. There is no time-in-rank limit for this position. However, longevity in this rank is not sufficient evidence of accomplishment or merit for promotion.

Research Professor

Appointment and promotion to this highest rank in the Research Track requires an internationally recognized record of continued excellence in research. A Research Professor will have a substantial and continued record of first-author and/or senior-author publications in peer-reviewed journals. A Research Professor will have served as principal or co-principal investigator on center grants, major grants (e.g. NIH R01) or equivalent and demonstrate a maintained record of such funding. National and international lectures, seminars, study sections, and *ad hoc* reviews are expected of a Research Professor. Research Professors are expected to perform mentoring, supervising, and laboratory or research based teaching in a number of venues. Institutional citizenship is expected of a Research Faculty.

Appointments and promotions to research professor require review by APRAPT; approval by the Medical School Executive Committee; endorsement by the Dean, the Executive Vice President for Medical Affairs, the Vice President for Research, the Provost and Executive Vice President for Academic Affairs, and the President.

Additional Criteria for Appointment and Promotion

Excellence and independence in research (or the potential independence in the case of the junior ranks) are the primary criteria for appointing and promoting of research faculty. Contribution to the educational mission is an expectation of faculty appointed and promoted in the research professor track. Organizational service responsibility within the Medical School is also expected of the research faculty for the sake of their own development as scientists and to enrich and invigorate the intellectual climate and reputation of the University. Longevity in a rank or position is not sufficient evidence of accomplishment or merit for promotion.

The Appointment Process in the Primary Research Track: An Overview

Recommendations for new appointments may be submitted at any time, but departments should allow time for the multistep processing, as outlined below.

- For research investigator appointments submit recommendation packet to the Faculty Affairs Office *at least one month* before effective date.
- For research assistant professor and assistant research scientist appointments submit recommendation packet to the Faculty Affairs Office *at least two months* before effective date.
- For research associate professor, research professor, associate research scientist and research scientist appointments submit recommendation packet to the Faculty Affairs Office *at least three months* before effective date.

The appointment process has a specific sequence of steps, dependent upon the level of the position. All appointments are made by the president of the University.

Research Investigator Level

1. Authorized and legitimate search, in accordance with Affirmative Action guidelines. (See separate instructions.)
2. Forwarding of draft offer letter and Appointment Activity Record (AAR) to the Faculty Affairs Office for approval; after approval, sending of offer letter to candidate.
3. Forwarding of Criminal Background Check Authorization Form to the Faculty Affairs Office.
4. Assembly of appointment recommendation packet for candidate; see details below.
5. Forwarding of completed appointment recommendation packet to the Faculty Affairs Office.
6. Approval by Assistant Dean for Research Faculty.
7. Processing of financial and personnel paperwork.

Research Assistant Professor and Assistant Research Scientist Level

1. Authorized and legitimate search, in accordance with Affirmative Action guidelines. (See separate instructions.)
2. Forwarding of draft offer letter and Appointment Activity Record (AAR) to the Faculty Affairs Office for approval; after approval, sending of offer letter to candidate.
3. Forwarding of Criminal Background Check Authorization Form to the Faculty Affairs Office.
4. Assembly of appointment recommendation packet for candidate; see details below.
5. Forwarding of completed appointment recommendation packet to the Faculty Affairs Office.
6. Review by APRAPT.
7. Approval by the Medical School Executive Committee.
8. Processing of financial and personnel paperwork.

Research Associate Professor, Research Professor, Associate Research Scientist and Research Scientist Level

1. Authorized and legitimate search, in accordance with Affirmative Action guidelines. (See separate instructions.)
2. Forwarding of draft Letter of Intent and Appointment Activity Record (AAR) to the Faculty Affairs Office for approval; after approval, sending of Letter of Intent to candidate.
3. Forwarding of Criminal Background Check Authorization Form to the Faculty Affairs Office.
4. Assembly of appointment recommendation packet for candidate; see details below.
5. Forwarding of completed appointment recommendation packet to the Faculty Affairs Office.
6. Review by APRAPT.
7. Approval by Medical School Executive Committee.
8. Endorsement by the dean, executive vice president of medical affairs, the vice president for research, the provost and the president.
9. Forwarding of the draft offer letter to the Faculty Affairs Office for approval; after approval, sending of the offer letter to candidate.
10. Processing of financial and personnel paperwork.

The Appointment Packet: Forms and Documentation to be Submitted by the Department

1. Transmittal Letter from the Department Chair to the Dean

This letter introduces the candidate, requests the appointment, and states the proposed date of appointment. To help prevent delay in processing, the letter may also point out any unusual features about the appointment.

2. Form B (Three-page Summary of Appointment or Promotion Recommendation)

Use of this form allows all the people who must review the packet to have a standard for comparison. The Form B is an excellent document to have in the file of each faculty member, particularly as it relates to career development plans.

The standard form of submission is as a document in Microsoft Word, set in 12 point Times with side margins of 1.25 inches and top and bottom margins of 1 inch. End punctuation should not be underlined. Bullets are used for explanation only here; please write in paragraph form. The candidate's name should appear in the upper left hand corner of each page of the proposal. Do not date this material. A complete description of Form B follows.

FORM B FOR RESEARCH TRACK FACULTY APPOINTMENTS

While the format is similar to that used for instructional track faculty appointments, the content and emphasis are very different:

- **FORM B HEADINGS:** The 3-page summary ("Form B") should focus attention on the candidate's contributions as a researcher. While Instructional Track summaries describe contributions in the order of Teaching-Research-Service, Research Track summaries will more accurately describe contributions in the order of Research-Service-Teaching.
- **RESEARCH:** Describe and evaluate the quality, originality and significance of the candidate's research. Include a description of work in progress. Note publications as a practical way of documenting the nominee's contributions. Note service on study sections or membership on editorial boards. Remark on ability to compete successfully for external research funding.
- **SERVICE:** Candidates' service contributions should be described in terms of quality as well as quantity. Service activities include administrative or committee work for departmental, school, university, or national organizations.
- **TEACHING:** Teaching is now a required component of Research Professorial Track appointments and promotions. Clear documentation of quality, as well as quantity, of teaching activities is required.
- **RECENT AND SIGNIFICANT PUBLICATIONS:** Include the five most significant publications (must be at least in press) of the candidate since their appointment or last promotion. If the candidate is not the first or senior author, explain briefly their role.
- **SOLICITATION LETTERS:** External reviewers should be asked to use different criteria when evaluating Instructional and Research Track candidates. While evaluation of Instructional Track faculty highlights their teaching, research and service accomplishments, evaluation of Research Track faculty members should focus mainly on their research achievements.

- **EXTERNAL AND INTERNAL REVIEWERS:** External reviewers should be able to comment knowledgeably about candidates' contributions to the field, and the impact of candidates' work.
- **CAREER DEVELOPMENT PLAN:** (for research investigators, assistant research scientists and research assistant professors) One of the measures of our success at an academic institution is our skill at developing the careers of our younger faculty members. Some explicit statement regarding a plan for career development should be included in each of the three-page summaries (Form B). This plan need not be verbose, but it should target some career goals and explain the tactics for achieving these goals. For example, mentorship pairings could be elucidated, academic support along with protected time could be outlined, space needs could be addressed and funds related to career development, research, travel and other forms of career support might be listed here.
- **OVERALL:** Summaries should provide **accurate and complete** descriptions of candidates' contributions and accomplishments. Exaggeration and embellishment of achievements are inappropriate.

3. Curriculum Vitae and Bibliography

The formats for the curriculum vitae and bibliography are in Appendix B, since these same formats are used for all faculty procedures. Note that information on date of birth, gender, social security number, marital status, or family members of the candidate should *not* appear on the curriculum vitae.

4. Reprints

For all appointments at all levels except for research investigator, submit *one copy* of reprints for five of the nominees' most significant articles that demonstrate scholarly activity. These are to be selected by the candidate as emblematic of best work and typically are those produced since the previous promotion. (Copies of these same five articles should be sent to people from whom external letters of evaluation are solicited.)

5. Bibliographic Notes.

A single page document that explains for each paper, why the author selected the paper, what unique and seminal contributions might have been made, and exactly what constitutes the author's contribution to the paper (including an explanation of the authorship position). Each paper should be keyed to its place in CV. The citation survey may be useful to demonstrate impact of some or all of the candidate's papers. The number of citation hits can be mentioned **if** this information is thought to give good evidence of impact. The URL to check on citations is as follows:

<http://www.lib.umich.edu/taubman/>

- Click on Databases by Subject
- Under Medicine click on Science Citation Index (Web of Science)
- "Full Search/Science Citation Index Expanded/All Years/
Cited Ref Search/Author's Name/Lookup"

6. Letters of Evaluation

The recommendation packet for each nominee is to include complete current letters of evaluation. For senior-level appointments (research associate professor, research professor, associate research scientist and research scientist) a minimum of five external letters is required. Letters beyond the minimum are encouraged. For junior-level appointments (research investigator, research assistant professor and assistant research scientist), three to five letters are required, all of which may be internal. Letters beyond the minimum are encouraged.

External Evaluators

The five primary “arm’s-length reviewers” excludes persons who have collaborated with candidate in the 10 years prior to the appointment effective date, present or former mentors/supervisors, and close personal friends. The reviewers should be individuals in the relevant field who can critique the candidate’s work and scholarly contributions. There is little need to exceed the Provost’s request for five letters, outside the safety factor of perhaps getting one or two additional letters in case a reviewer fails to meet our deadlines. All letters solicited and received must be included in the appointment packet. *Letters of evaluation must be signed; if received via an-email response, they must include the email address header.*

Internal Evaluators

Internal reviewers are considered to be any University of Michigan faculty member regardless of school, unit, or department of appointment. Letters from internal reviewers can be helpful because they are presumed to have a good sense of both the candidate and the work. If such letters are included, they will be considered additional to the minimum requirement of five external letters.

7. Letters Used to Solicit Evaluations

A new model solicitation letter is attached. The chair should elicit suggested names of reviewers from candidate but also include other appropriate reviewers in final solicitation list. The letter should stress that we seek a measured, unbiased evaluation. Evaluators will be asked to describe, very specifically, impact in field or seminal contributions in cases of senior level faculty. The evaluators should receive the candidate’s CV, the five papers, the bibliographic notes, and our descriptions of faculty tracks & ranks. FOIA considerations need to be mentioned. Several chairs send the external evaluators a note or card of thanks after receiving the evaluations, with a mention of the subsequent length of process and time of outcome. This costs little and garners good will from those asked to study and report on our faculty. *One copy of the solicitation letter for external reviewers must accompany the appointment packet.*

List of External Reviewers: This list must be in alphabetical order by last name of the reviewers. A short statement for each reviewer should include the reviewer's position, fields of expertise, important contributions and standing in the discipline, and appropriateness of that individual to provide an unbiased expert evaluation. Any close professional associations with the candidate such as dissertation committee, post-doc supervisor, co-author, etc. should be disclosed.

8. Teaching Evaluations/Educator’s Portfolio

Teaching is a required duty for faculty in the Research Professor Track, so it is important to supply the Faculty Affairs Office with relevant teaching documentation, even for external candidates, if they are available. Typical examples of acceptable measures of teaching ability include summary sheets of systematic, standardized student surveys. Students may be undergraduates, graduate students, medical students, house officers, fellows, or continuing medical education participants. Be certain to mention the standards used, e.g., “scale of 1 to 5, with 5 being outstanding.”

Educator’s Portfolio. Our Department of Medical Education has created a two to four page Medical School model, which should include teaching activities; documentation of teaching awards or citations; summaries of comments or evaluations for seminars, conferences, lab supervision, etc.; and documentation of research concerning the educational process.

9. Appointment Activity Record (AAR) Materials for Appointments

The search process and AAR requirements for appointments are described in a separate section of this handbook. The original, completed AAR must accompany the appointment packet.

10. Bridging Support Form

Signed by the Department Chair. The Faculty Affairs Office will be responsible for obtaining the signature of the Dean.

11. Financial and Personnel Materials as Appropriate

New Hire to University of Michigan: Appointment Request Form #36400, Supplemental Appointment Information #36100, Faculty Personnel Record Form, I-9 Employment Eligibility Form.

Non-U.S. citizens without a U.S. Social Security number must have a copy of the receipt showing that a number was applied for from the Social Security Administration.

New Appointment for Current University of Michigan Employee: the Job Data/Department Budget Earnings Change Submittal Form, reflecting change in title, FTR, short code funding, etc.

Non-U.S. citizens with an expired work authorization end date on the I-9 may need a new I-9.

Please double check figures and signatures to avoid delays in processing.

12. Final Form of the Accepted Offer Letter

The draft should have been previously approved by Faculty Affairs Office. A copy of the offer signed by the candidate as accepted must accompany the packet.

**APPOINTMENT PACKET CHECKLIST
for the Research Track**

*Please forward materials to the Faculty Affairs Office as a complete packet.
Incomplete packets cannot be processed.*

- 1. **Transmittal letter from the department chair to the dean.**
- 2. **Form B**
- 3. **Curriculum vitae in Medical School format**
- 4. **Five reprints (research assistant professor level and above)—one copy of each**
- 5. **Bibliographic Notes**
- 6. **Letters of evaluation** (minimum of five external for research associate professor, associate research scientist, research professor or research scientist; three to five for research investigator, research assistant professor or assistant research scientist, all of which may be internal)
- 7. **Copy of letters used to solicit evaluations and list of external reviewers that include a brief statement regarding the qualifications of each reviewer.**
- 8. **Teaching evaluations/Educators Portfolio (for research professorial track only)**
- 9. **Appointment Activity Record (AAR)**
- 10. **Bridging Support Form (Form RS-2)**
- 11. **Financial and personnel materials as appropriate-** Appointment Request Form #36400, Supplemental Appointment Information #36100, Faculty Personnel Form, I-9 form (or Job Data/DBE Change Submittal form for current employees).
- 12. **Final form of offer letter** (draft should have been approved by Faculty Affairs)