Overview
This appendix describes the U-M School of Dentistry (UMSD) implementation of the Research Faculty track policies and procedures developed by the University of Michigan Office of Research and the Provost. It is critical that the instructions in this appendix are followed when appointing or promoting individuals on the Research Scientist and Research Professor tracks because the UMSD does not employ every allowable rank and appointment type and each has its specific appointment and promotion timelines and requirements.

Acronyms: UMSD, University of Michigan School of Dentistry; FMPI, tenure-track principal investigator; TLA, term-limited appointee; OEA, open-ended appointees; PAF, Proposal Approval Form; UMOR, University of Michigan Office of Research; MOU, Memorandum of Understanding

RESEARCH SCIENTIST TRACK

Within the UMSD, the Research Scientist Track is intended to: 1) support the Research Mission of the UMSD, 2) enhance the research capabilities of established research groups within the UMSD and 3) promote the growth of research expertise of members of the Research Scientist Track.

- Faculty appointed on the Research Scientist Track are recruited with the intent that their primary responsibility is to the research program of a specific Tenure Track faculty member/principal investigator (FMPI) in the UMSD who has an active (funded) research program.

- Research Scientist Track appointments are intended to be supported on externally-derived research funds (“soft money”).

- Types of appointments - The University of Michigan allows research track faculty to hold either a term-limited (TLA) or an open-ended appointment (OEA).
  - Term-limited appointees - Within the UMSD, research track faculty typically hold term-limited appointments and the term is defined by the external funding held by the FMPI to whom they are responsible.
  - Open-ended appointees - This type of research track appointment is discouraged in the UMSD due to resource limitations. If this type of appointment is under consideration, the sponsoring academic department must document that:
    1. The appointment is beneficial to the institution.
2. There is a long-term commitment of departmental resources to support the position.

3. There is a critical mass of Tenure Track faculty members within the UMSD with whom the OEA will interact.

4. Appropriate research space is available within the FMPI’s dedicated space.

In addition, the letter of offer must contain a description of the mandatory reviews and a statement that the appointment is subject to termination due to loss of funding, FMPI departure or other institutional needs.

- Research Scientist Track appointments are not “stand alone” appointments and must be linked directly to the research program of an FMPI. In the event that the FMPI is no longer a full-time faculty member in the School of Dentistry, all Research Scientist Track appointments tied to that FMPI must be re-evaluated by the Office of the Dean, sponsoring academic department in the School of Dentistry, Office of Academic Human Resources (AHR) and the University of Michigan Office of Research (UMOR).

- Research track appointments are expected to be full-time (80-100% effort) and used only when appointing individuals who are committed to scholarly investigation under the direction of an FMPI. Less than full-time appointments may be considered when appropriate and approved by the Dean and the Executive Committee of the UMSD.

- The Office of the Dean will not approve a Proposal Approval Form (PAF) for external funding of a TLA as a principal investigator unless the following conditions are met:

  1. Should the proposed external research funding period extend beyond the current appointment period of the TLA, there must be a documented commitment to reappoint the TLA at the end of his/her current appointment. The appointing academic department and FMPI must be able to demonstrate that full-time salary support is available for the TLA when the reappointment is made.

  2. Prior discussion with and approval from the FMPI, Department Chair and Dean must be obtained before external funding applications from TLA’s are submitted.

  3. Requests to submit an independent external funding application are made no later than three months prior to the sponsor submission deadline and should be made prior to engaging the UMSD Contracts & Grants Service Center to allow sufficient time for thoughtful discussions, review and approval by the Dean.

  4. External funding applications from TLA’s are intended to support the total research activity of the respective FMPI’s research group.
5. The sponsoring academic department of the School of Dentistry guarantees that sufficient bridge funding exists to ensure full salary support for the TLA until the TLA learns of the funding decision regarding a submitted external research funding application and the application is actually funded.

6. The sponsoring academic department of the School of Dentistry guarantees funding for the TLA to ensure that the TLA’s compensation and appointment is maintained as full-time effort during the period in which s/he possesses independent funding support, since it is expected that TLA appointments be a full-time (80-100%) effort. This guarantee includes other contingencies that include, but are not limited to the departure of the sponsoring FMPI and any grant support that would have kept the TLA whole throughout the period during which he/she possessed independent funding support as PI.

7. In all cases, the TLA remains fully responsible to an externally funded FMPI pursuing research in the same discipline, regardless of the level of external research support garnered by the TLA. In addition, the TLA may not submit an independent research application sponsored by an FMPI who is unfunded or likely to be unfunded during the TLA’s external funding application period.

8. No additional research space is required to accommodate the TLA’s proposed external funding application and he/she remains within the footprint committed to the FMPI.

- Upon departure of the FMPI and any associated external research support:
  
  1. In consultation with the Office of Academic Human Resources (AHR) and the UMOR, the TLA shall be given a “Reduction In Force” (RIF) notification and shall be entitled to the appropriate notice (SPG 201.72).
  
  2. The TLA may not initiate new or renew existing grants unless another Tenure-Track faculty member (substitute FMPI) assumes responsibility for the TLA.
  
  3. The substitute FMPI must be pursuing research in the same discipline and have sufficient grant support and existing research space to accommodate the TLA.
  
  4. The sponsoring academic department must honor any prior commitments made to the TLA to keep him/her appointed with a full-time effort for the duration of the TLA’s existing funding during which he/she is PI.

Appointment and promotion process

- Appointments of Research Track faculty are governed by the policies described by the UMOR Research Faculty Track Appointment and Promotion document.
• The home academic department and FMPI must demonstrate that full-time salary support will be available for TLA when the appointment or reappointment is made.

• Letters of offer to a TLA may not be contingent on the success of a proposed, submitted or pending external funding application.

• Letters of offer and Memoranda of Understanding (MOUs) for Research Track appointments must be approved by the Office of the Dean. In addition to the MOU described in the UMOR Research Faculty Track Appointment and Promotion document, the UMSD requires that an additional MOU describing the UMSD policy governing the submission of external funding applications by Research Track faculty be provided to all Research Track faculty.

• The cycle for appointment and promotion reviews on the Research Scientist track follows that for other School of Dentistry faculty tracks, while adhering to UMOR guidelines.

• Unless initiated as a mandatory review, as described in the UMOR Research Track Faculty Guidelines, promotion requests and reviews must be initiated by the tenure track faculty/principal investigator under whom the research track faculty member works. The following steps are expected of all proposed promotions on the Research track:
  
  o Tenure Track faculty/principal investigator submits a written promotion request to the academic Department Chair accompanied by the faculty portfolio of candidate for promotion.

  o Department Chair reviews portfolio or constitutes a faculty committee to review and make a recommendation to the chair.

  o Upon a favorable and supportive review, the UMSD Faculty Affairs Office is notified of the recommendation and the candidate is included in the next round of faculty promotion reviews.

  o Appointment, Promotion and Tenure and Executive Committees review the portfolio and make recommendation to Dean.

  o The candidate’s portfolio is reviewed using the criteria defined in the primary Research track document and the School of Dentistry Appendix to that document.

**Commitment of resources to Research Scientist Track faculty**
Research scientist appointments will not be made with independently assigned space. Space assignments for members of the Research Scientist Track will be in the context and confines of the research program of a FMPI.
If a TLA has grants as Principal Investigator, any staff persons associated with the grant will be housed and accommodated within the research program of the respective FMPI.

**Participation in teaching and committee activities**

Since Research Scientist Track faculty are supported on research grants, didactic teaching or teaching efforts other than laboratory research mentoring are discouraged and generally disallowed by the funding sponsor. This would not apply to “incidental” lectures or “guest” appearances in regularly scheduled courses where such lectures are not a regular expectation. This would be true for service on committee activities other than those directly linked to the funding sources.

**Characteristics that typically distinguish individuals on the Research Scientist track from those on the Staff Scientist Track**

- Evidence as a developing authority on the scientific context of their research, with an in-depth knowledge of relevant literature in the field
- Evidence of commitment to a scientific field and research that goes beyond the confines of a typical five day work week
- Evidence of facilitating development or origination of new research ideas in the laboratory group
- Record of peer-reviewed publications that include papers as first author
- Record of grant applications, intramural and extramural, as appropriate for the research group and goals of the respective Tenure Track faculty member
- Role as a principal investigator on research grant(s) or have favorable reviews of unfunded applications, as appropriate for the research group and goals of the respective Tenure Track faculty member
- History of invited oral presentations at symposia or other institutions
- Evidence of mentoring lab personnel and students in the laboratory
- Evidence of leadership in contributing to overall laboratory and equipment care.

**RESEARCH PROFESSOR TRACK**

The Research Professor Track is intended to: 1) enhance the research mission of the School of Dentistry, and 2) engage exceptional investigators in the school whose primary mission is to function as independent principal investigators not necessarily linked to a Tenure Track faculty/principal investigator. These appointments will be made only in exceptional circumstances, with a strong rationale to justify appointing to the Research Professor Track.
instead of the Tenure Track. These appointments should be full time. Research Professor Track appointments are intended to be supported on research funds (“soft money”).

**Appointment and promotion process**

- Entry to this track would be through either a promotion from a prior appointment as Assistant Research Scientist on the Research Scientist track or as the result of a faculty recruiting effort directly to this track. Appointment recommendation is made by the Chair of an academic department to the Dean. The School of Dentistry does not employ the rank of Assistant Research Professor.

- The cycle for appointment and promotion reviews on the Research Professor track follows that for other School of Dentistry faculty tracks.

- Promotion requests and reviews will be initiated by the Department Chair in which the individual is appointed.

- It is expected that the criteria and expectations for accomplishments in research, in both time frame and scope, would parallel that of faculty on the Tenure Track.

**Submission of independent grant applications**

- Faculty appointed on the Research Professor Track are eligible to submit independent grant applications, subject to prior discussions with and approvals by the Department Chair and Dean.

**Commitment of resources to Research Professor track**

- Research Professor Track appointees are eligible for independent assigned research space based on UMSD research space guidelines.

**Participation in teaching and committee activities**

- The core Research Faculty document describes the non-didactic teaching and mentoring of postdoctoral fellows, junior research colleagues or students within the context of one or more research fields. Didactic teaching or teaching efforts other than laboratory research mentoring are discouraged. This would not apply to “incidental” lectures or “guest” appearances in regularly scheduled courses where such lectures are not a regular expectation.

- Institutional service is expected, but not at the level expected for the parallel rank on the Tenure Track.