TO: Academic Program Group  
Research Unit Directors  

FROM: Teresa A. Sullivan  

DATE: December 9, 2009  

RE: Guidelines for Obtaining Authorizations to Extend an Offer (AEOs) and for Obtaining Approval of Joint Academic Appointments for Senior Faculty  

Attached are updated guidelines setting forth the detailed procedures for obtaining approval to extend an offer for appointment of:  

- Professor (with or without tenure)  
- Associate Professor (with or without tenure)  
- Research Professor  
- Research Associate Professor  
- Clinical Professor  
- Clinical Associate Professor  

These materials must be submitted to the Provost’s Office prior to extending an offer. Following review by the Provost and the President, the Provost’s Office will inform the appropriate Dean or Director of the decision. The materials may be submitted electronically via CTools.  

Please note that these guidelines should be used to request approval of all appointments to the above-named positions for candidates without a current University appointment.  

If the candidate has a current University of Michigan appointment with one of the above titles, and a joint academic appointment at the same, or equivalent, rank in another academic unit is being recommended, please follow the instructions in the accompanying document: Guidelines for Obtaining Approval of Joint Academic Appointments for Senior Faculty.  

Please forward this memorandum and the attached instructions to Department Chairs, Program Heads, and others in your unit who are directly responsible for the preparation of this material. These guidelines can also be found on the Provost’s Office Website at http://www.provost.umich.edu/faculty/appointment_guidelines/index.html.  

When there is a completed and accepted appointment offer for a new tenure-track faculty member at the assistant, associate, or professor rank, please forward an electronic copy of the accepted letter of offer to Lesley Bull at lesleyb@umich.edu and Tammy Deane at trendell@umich.edu.  

TAS/LJP/lpb  

Attachments  

RECEIVED  
DECEMBER 5 2009  
DEAN OF ENGINEERING
GUIDELINES FOR OBTAINING AUTHORIZATIONS TO EXTEND AN OFFER FOR
PROFESSORS AND ASSOCIATE PROFESSORS,
RESEARCH PROFESSORS AND RESEARCH ASSOCIATE PROFESSORS,
AND CLINICAL PROFESSORS AND CLINICAL ASSOCIATE PROFESSORS,
PRIOR TO EXTENDING AN OFFER

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The University recognizes the guidelines set forth by the AAU, the CIC, and the AAUP concerning recruitment of instructional faculty (SPG 201.47-1):

• Firm offers of appointments for the Fall Term should not be made after April 30, or the fourth month preceding the beginning of any other academic term. The offer should be a “firm” offer and not subject to contingencies.

• An exception may be considered provided the administrative head (usually the dean or designated representative) or the offering unit (school/college/institute) has determined that the date in which the appointment is to take effect is agreeable to the administrative head of the school/college/institute which the individual will be leaving. Note: It is expected that the administrative head of the offering unit will request the AAU waiver from the home institution and include a copy in the offer package when it is forwarded to the Provost’s Office.

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GUIDELINES:

1. The school/college/research unit/academic unit approves the appointment, and

2. Submits the following information to the Provost’s Office (Note: In an effort to make this process more efficient, the files may be uploaded to CTools. Please see attached instructions for uploading files if submitting electronically via CTools):

   • Prior to forwarding to the Provost’s Office, Medical School appointments should be sent to the Executive Vice President for Medical Affairs for approval.

   • For Research Professors and Research Associate Professors only, the appointment requires a review by the Vice President for Research. The appointment package will be forwarded to the Vice President for Research by the Provost’s Office.

a. Endorsement letter from Dean/Director.

   • The endorsement letter should be written from an evaluative, not an advocacy, perspective and should present a balanced summary of the strengths and weaknesses of the case.

   • Please include the effective date of the appointment.
• If the regular (not adjunct) Instructional, Research Professor, or Clinical appointment is offered in more than one unit, it should be handled simultaneously by all units. The endorsement letter requires the signatures of the Deans/Directors from all schools/colleges/research units/academic units where the individual will hold Instructional, Research Professor, or Clinical appointments, even if those are “dry” (0% fraction) appointments. Please indicate the fraction of effort for each title – e.g., Associate Professor, without tenure (100%), and Research Associate Professor (0%).

• Effective July 2008, a Memorandum of Understanding (MOU) is to be created for all new inter-school and intra-school joint appointments at the assistant, associate, and full professor level for tenure-track/tenured instructional faculty, excluding 0% (“dry”) appointments. The draft MOU should be submitted to the Faculty Affairs Office for review – ideally at the time of hire but no later than 6 months from the start of the joint appointment. Please refer to the Faculty Appointment Guidelines on the Provost’s Office website <http://www.provost.umich.edu/faculty/appointment_guidelines/index.html>. Note: MOUs are not required for Research Professor or Clinical track hires.

b. Candidate’s curriculum vitae.

c. At least five letters of recommendation from “arm’s-length” external reviewers, and more than five are highly desirable.

• All of the external review letters that were received by the appointing unit(s) must be included. These letters should be from reviewers at or above the rank of the appointment being considered. If the circumstances necessitate letters from out-of-rank reviewers, those should be explained.

• The letters should be truly evaluative and at “arm’s length.” For candidates on the Instructional tenure track or the Research Professor track, the “arm’s length” letters should be from persons who are outside the present institution of the candidate and who did not work or train with the candidate at other institutions. While letters from persons who have served as a candidate’s thesis adviser, mentor, co-author, major collaborator, or who are in the same department as the candidate or co-taught a course, can be especially helpful (because they can be presumed to have a good sense of both the person and the work), it is also true that their own reputations are involved in the work being evaluated. If such letters are included, they must be in addition to the minimum requirement of five “arm’s length” letters. Letters from persons who may be unknown to the candidate, but who may have a clear sense of the significance of the candidate’s qualifications, are of greater value. Note: as of August 2008, we will allow letters from persons who have been a co-author or a major research collaborator with the candidate in excess of 10 years prior to the candidate’s expected start date.

• It is important that the Clinical track parallel the Instructional tenure track and the Research Professor track in that it is the regional/national impact on one’s field that should justify a senior academic rank. However, “arm’s length” letters from persons who may not be known to the candidate, but who have a clear sense of the significance of the candidate’s qualifications, are unlikely to tell the story insofar as teaching and clinical work are concerned. Therefore, it is allowable, for Clinical track faculty only, to have up to two of the five “arm’s length” evaluative letters.
from local sources. The two letters from local sources can be from the candidate’s current institution as long as the local sources are outside of the candidate’s department and have seen the clinical work and actual teaching but are not mentors or scholarly collaborators. At least three of the remaining letters would need to be “arm’s length” as typically defined for the Instructional tenure track and the Research Professor track.

- Non-academic reviewers (e.g., employed at the NIH or a major research institute) may be included in the required five “arm’s length” letters but only if it is stated that, for those individuals who do not typically hold an academic title, their rank is equivalent or higher to the academic rank for which the faculty member is being considered.

- Letters from reviewers at the University of Michigan may be included in the offer package but they will not be considered “arm’s length.”

d. Brief description of the credentials of each external reviewer and relationship to the candidate. Please list external reviewers alphabetically by last name.

- A short paragraph on each reviewer should indicate the reviewer’s position, fields of expertise, important contributions and standing in the discipline, appropriateness of the reviewer to provide input, as well as any close professional associations with the candidate – dissertation committee, post-doc supervisor, co-author, etc.

- Designate each external reviewer as either “arm’s length” or “not arm’s length.”

- Please also provide a copy of the letter template (solicitation letter) to the external reviewers asking for their recommendations.

e. Substantive description of candidate’s work and significant contributions to the field – more than a listing of titles.

f. Description of the appointment in the context of the field and the specific needs of the school, college, or department.

g. Evidence of teaching experience and performance.

- Please provide an explanation of the teaching evaluation system and where the candidate ranks in the system (quantitative evaluations on teaching).

- Please include a teaching statement from the candidate.

*(For Research Professor and Research Associate Professors, the criteria for these ranks is a record of substantial teaching and mentoring within the context of one or more research programs (e.g., laboratory bench science, social science, or other non-classroom setting) with postdoctoral fellows, junior research colleagues, or students at any level - http://www.drda.umich.edu/policies/um/RF/RFguidelines.html)*

h. If the new appointment is to be at the rank of Associate Professor, without tenure, or Professor, without tenure, please include a copy of the draft offer letter to the candidate.
i. Statement of Understanding Regarding Responsibility for Bridging Support. 
(Only required for Research Professors and Research Associate Professors – available at 
http://www.drda.umich.edu/policies/um/RF/RS-2.pdf)

j. A copy of the Appointment Activity Record (AAR) or a waiver from Human Resource 
Records and Information Services (HRRIS).

**The offer package cannot be processed without each of the above items**

3. Once approved by the Provost, the Provost’s Office submits the entire offer package to the 
President for approval. *(For Research Professors and Research Associate Professors only, 
The Provost’s Office also obtains a review by the Vice President for Research.)*

4. The appropriate school/college/research unit/academic unit is notified when all evaluations 
are completed.

5. A copy of the approval (cover sheet with Provost and President approvals noted) is faxed to 
the school/college/research unit/academic unit.

6. **For Professors and Associate Professors Only (both with and without tenure):** The 
school/college then notifies the candidate and makes the offer. Once the offer has been 
accepted, the school/college prepares a Regents Communication and forwards the following to 
Academic Human Resources, 2072N Administrative Services Building / 1432:

   a. Regents Communication (original plus one copy, double-sided with no staples)
   b. Original Appointment Activity Record (AAR)
   c. One copy of the curriculum vitae is required (double-sided with no staples)

**For Research Professors, Research Associate Professors, Clinical Professors, and 
Clinical Associate Professors Only:** The school/college/research unit/academic unit 
prepares appointment materials and forwards the following to Human Resource Records and 
Information Services (HRRIS), 4073 Wolverine / 1281:

   a. Appointment Request Form
   b. Original Appointment Activity Record (AAR)
   c. Copy of curriculum vitae

7. When there is a completed and accepted appointment offer for a new tenure-track faculty member 
at the assistant, associate, or professor rank, please forward an electronic copy of the accepted 
letter of offer to Lesley Bull at lesleyb@umich.edu and Tammy Deane at trendell@umich.edu.

Updated
12/09 lpb
GUIDELINES FOR OBTAINING APPROVAL OF JOINT ACADEMIC APPOINTMENTS FOR SENIOR FACULTY

These guidelines set forth the procedures for obtaining approval to offer current University of Michigan faculty a joint appointment in another academic unit (inter-school) at the same, or equivalent, rank. Approval is required for joint faculty appointments with the following titles:

- Professor (with or without tenure)
- Associate Professor (with or without tenure)
- Research Professors
- Research Associate Professors
- Clinical Professor
- Clinical Associate Professor

**NOTE:** Joint appointments at 0% fraction ("dry") to the above titles also need to be approved by the Provost.

**NOTE:** Joint appointments within the same school or college (intra-school, aka "additional" appointments) do not require approval from the Provost.

1. The school/college/research unit/academic unit approves the joint appointment, and

2. Submits the following information to the Provost's Office. **(Note: In an effort to make this process more efficient, the files may be uploaded to CTools. Please see attached instructions for uploading files if submitting electronically via CTools):**

   a. Endorsement letter co-signed by the Dean/Director of the unit in which the faculty member holds a current appointment and the Dean/Director of the unit that wishes to make the new appointment.

   - **Effective July 2008, a Memorandum of Understanding (MOU) is to be created for all new inter-school and intra-school joint appointments at the assistant, associate, and full professor level for tenure-track/tenured instructional faculty, excluding 0% ("dry") appointments. The draft MOU should be submitted to the Faculty Affairs Office for review – ideally at the time of hire but no later than 6 months from the start of the joint appointment. Please refer to the Faculty Appointment Guidelines on the Provost’s Office website <http://www.provost.umich.edu/faculty/appointment_guidelines/index.html> for the two MOU templates to be used for either a joint appointment without tenure or for a joint appointment with tenure. Note: MOUs are not required for Research Professor or Clinical track appointments or hires.**

   - Please indicate the fraction of effort for each title.

   b. Faculty member’s updated curriculum vitae.
c. Description of the new appointment in the context of the field and the specific needs of the academic department/program/unit.

d. Statement of Understanding Regarding Responsibility for Bridging Support. Only required for new appointments with these titles: Research Professor or Research Associate Professor.

NOTE: For Research Professors and Research Associate Professors only, the appointment requires a review by the Vice President for Research. The package will be forwarded to OVPR by the Provost’s Office.

3. Once approved by the Provost, the Provost’s Office submits the package to the President for approval.

4. The appropriate school/college/research unit/academic unit is notified when all approvals are obtained.

5. A copy of the approval (cover sheet with the signatures of the Provost and the President, and if appropriate, the Vice President for Research) is faxed to the school/college/research unit/academic unit.

6. For Professors and Associate Professors Only: The school/college/research unit/academic unit then prepares a Regents Communication and forwards the following to Academic Human Resources, 2072N Admin Services / 1432:

   a. Regents Communication (original plus one copy, double-sided with no staples)
   b. One copy of the curriculum vitae (double-sided with no staples.)

For Research Professors, Research Associate Professors, Clinical Professors, and Clinical Associate Professors only: The school/college/research unit/academic unit prepares appointment materials and forwards the following to Human Resource Records and Information Services (HRRIS), 4073 Wolverine / 1281:

   a. Appointment Request Form
   b. Copy of curriculum vitae

Joint Appt approval guidelines 12/09
lpb
Step 1: Preparation of MS Word and PDF files

Approval of an Authorization to Extend Offer (AEO)

- Provide candidate’s curriculum vitae in MS Word format
- Create a PDF file containing the following documents; include a Table of Contents bookmarked to the different sections of the file:
  - signed endorsement letter/memo from the Dean/Director (if joint appointments, co-signed by both Deans)
  - letters of recommendation from external/external reviewers
  - description of each external reviewer’s credentials and relationship to the candidate
  - solicitation letter template
  - description of candidate’s work and significant contributions to the field, if not included in the endorsement letter
  - description of the appointment in the context of the field and the specific needs of the unit, if not included in the endorsement letter
  - evidence of teaching experience and performance, and candidate’s teaching statement
  - copy of the draft offer letter, only if the new appointment is to be at the rank of Associate Professor without tenure or Professor without tenure
  - Statement of Understanding Regarding Responsibility for Bridging Support, only required for Research Professor and Research Associate Professor appointments
  - Appointment Activity Record (AAR) or waiver of posting
  - AAU waiver, if required
  - draft of Memorandum of Understanding (MOU) for inter-school or intra-school joint appointments

Approval of Joint Appointments for Senior Faculty

- Create a PDF file containing the following documents:
  - signed endorsement letter/memo co-signed by both Deans/Directors
  - faculty member’s curriculum vitae
  - draft of Memorandum of Understanding (MOU) for inter-school or intra-school joint appointments; 0% (“dry”) appointments are excluded

Note: Metadata and Checksum documents are not required for these requests.

Step 2: Notification and the transfer of non-CTools document

- Email Lesley Bull lesleyb@umich.edu with the candidate’s name and whether the request is for an AEO or Joint Appointment approval; you will be notified when given access to CTools
- Send hard copy of signed endorsement letter/memo from the Dean/Director to the attention of Lesley Bull in the Provost’s Office, 3052 Fleming 1340

Step 3: Transfer of files to CTools

- Log in to CTools using your uniqname and Kerberos password:
  - [https://ctools.umich.edu/portal] or go to QUICK LINKS on the UM homepage and click on CTools
- Upload MS Word and PDF files:
  - Select the worksite named “Your Unit Name” AEO
  - Select Resources
  - Download MS Word and PDF files by clicking on “Add” - click “Upload Files” and “Choose File” to access the server - choose files - click “Upload Files Now”
- Please remember to log out of CTools when done, and email lesleyb@umich.edu that file is available

Questions? Contact Lesley Bull, lesleyb@umich.edu or 764-0151

12/09