



**STANFORD**  
M E D I C I N E

# Progression through the Ranks in the Research Line

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# Outline of Topics

- Characteristics of NTL-R line
- Summary of criteria
- Timing of promotion consideration
- Outline of reappointment and promotion process
- Office of Academic Affairs resources



# NTL-Research Line

- Faculty appointed in NTL-R generally have special expertise in a relatively narrow field that is of particular benefit to a broader clinical or research program
- There is no formal teaching obligation but NTL-R faculty teach in their labs and may teach courses
- Significant clinical time is generally discouraged



# NTL-Research Line-2

- NTL-R faculty are members of the Professoriate and of the Academic Council of Stanford University
- Appointments are made coterminous with continued salary or other support from sponsored projects
- Should such funding end, the appointment normally would end at that time without the completion of the term



# Funding Expectations NTL-R

- A new faculty member will be expected to have 80% of salary and benefits supported by external sources by the end of the third year
- Existing faculty members previously funded with salary from external sources at 80% or more may be permitted at the discretion of the department chair to have up to 2 years to re-establish external support at the minimum level of 80% of salary and benefits



# Funding Expectations NTL-R-2

- Insufficient support at any time should not be addressed by a reduction in effort
- Faculty members are generally expected to be full-time
- 5% rule: NTL-R faculty are expected to engage in activities in addition to research; grants only provide salary support for research-related activities
- Other sources must be identified to cover the percentage of time devoted to these other activities (a minimum of 5% effort)



# Duration of Appointments

- Assistant Professor: 4 years with a 3 year reappointment term; total length of time not to exceed 7 years except with approved extensions
- Associate Professor: 5 years; renewable for an unlimited number of 5 year terms
- Professor: 5 years; renewable for an unlimited number of 5 year terms or for continuing term



# Continuing Term

- For continuing term appointments, the programmatic need has been firmly established and there is an established history of outstanding scholarly contributions as well as confidence in future scholarly productivity, including the ability to obtain sustained external funding
- Continuing term appointments are co-terminus with continued salary and other research support from sponsored projects





# Criteria NTL-R Scholarship

- Investigative independence is expected since it can be a useful marker of substantive scholarly contributions
- The main emphasis of written contributions should be on peer-reviewed articles
- With respect to multi-author works, it is expected that contributions will be made through senior authorship or through other substantive contributions



# Criteria NTL-R Scholarship-2

- The quality of scholarship will generally be reflected in peer-reviewed grants and contracts, which are an important indicator of success in the field, as well as being the source of funding that is a prerequisite for appointment in the Research Line



# Criteria NTL-R Scholarship-3

- Factors in assessing research performance include but are not limited to:
  - Scholarly activity and productivity
  - Impact, innovation and creativity
  - Recognition in the field
  - Ability to work effectively as part of a research team
  - Effective communication
  - Professionalism
  - Institutional compliance and ethics



# Criteria NTL-R Teaching

- There is no formal teaching obligation, but teaching is performed in the research setting
- There must be excellent performance in any teaching role appropriate to the programmatic need



# Criteria NTL-R Teaching-2

- Factors considered in assessing teaching performance include but are not limited to:
  - Knowledge of the material
  - Positive style of interaction with students
  - Availability, professionalism
  - Effective communication skills
  - Helpfulness in learning
  - Ability to work effectively as part of teaching team



# Criteria NTL-R Clinical Care

- Significant clinical time commitments are discouraged
- If there is clinical activity, the performance must be excellent



# Criteria NTL-R-Service

- Service and institutional citizenship are also given consideration for promotion
- The quality of the institutional service will be considered in the promotion process
- Since a major commitment to administrative activities detracts from the time available for scholarship, Assistant Professors are discouraged from significant administrative activities and departments are discouraged from requiring such



# Respectful Workplace

- Faculty members are expected to treat all members of the Stanford community with civility, respect and courtesy
- Application of the criteria for evaluating the quality of scholarship, teaching and clinical care include specific expectations regarding a faculty member's professional behavior in the workplace and are an important factor in appointment, reappointment and promotion





# Timing

- Reappointment and promotion reviews are initiated one year in advance of the appointment end date
- However, promotions may be initiated at any time when there is evidence that a faculty member has compiled a significant record of accomplishment since the time of the initial appointment or reappointment and that criteria for the higher rank have been met



# Reappointment as Assistant Professor (Research)

- Assistant Professors may be reappointed based on evidence of progress, high-level performance and their continuing to fill a programmatic need
- There should be evidence of the ability to obtain external funding and outstanding performance as a supervisor of trainees
- It is expected that an Assistant Professor will be on a career trajectory consistent with Stanford standards, and the reappointment process should include an evaluation of whether there is a realistic chance for promotion in the future



# Promotion to Associate Professor (Research)

- Promotion to Associate Professor will be reserved for an individual who has achieved true distinction in research and who is not only recognized as among the best in his or her cohort but also is likely to become one of the very best in the field
- There should be evidence of the ability to obtain external funding and outstanding performance as a supervisor of trainees



# Promotion to Professor (Research)

- Promotion to Professor should reflect continuing distinguished performance in scholarship, teaching, and, if applicable, clinical care
- There must also be evidence of the ability to obtain sustained external funding
- The faculty member should have compiled a significant record of accomplishment since promotion to Associate Professor



# Promotion to Professor (Research)-2

- The evidence must show that the person being proposed for promotion is recognized as one of the very best in his or her field, and will successfully continue to fill the programmatic needs for which the appointment is made and make meritorious contributions to the discipline and the School
- May be for a 5 year term or continuing term



# Importance of Annual Counseling

- Progress toward reappointment and promotion and timing should be discussed during every annual counseling meeting with your chair or chief
- If there are specific questions about your situation, we in OAA are happy to discuss with you and/or with your chair or chief



# Review Process

- Approximately 9 months are required to complete the review
- You provide your updated CV (with middle author publications annotated to define your role in the research) and Candidate's Statement
- Candidate's Statement is limited to 3 pages; discuss recent achievements in all mission areas and include near-term and longer-range plans
- You may suggest up to 3 referees



# Review Process-2

- You provide a list of your current and former trainees (you do not select which ones will write letters); all trainees are solicited for Assistant Professor reappointment and promotion
- Evaluations will be collected on teaching, broadly defined (formal classroom teaching, mentoring, clinical), and clinical activities, if applicable
- The counseling memo is provided after the review





# Letter Requirements

- Reappointment to Assistant Professor:
  - 3 to 5 total referee letters (at least one external is recommended)
  - 1 to 3 trainee letters minimum but all current and former trainees will be solicited



# Letter Requirements-2

- Promotion to Associate Professor or to Professor for a fixed term:
  - 4 to 7 external referee letters, from peer institutions and most independent not collaborators or mentors
  - 3 to 5 internal referee letters
  - 1 to 5 trainee letters minimum but all current and former trainees will be solicited if promotion from Assistant Professor
- Requirements are the same for reappointment



# Letter Requirements-3

- Promotion to Professor for a continuing term:
  - 8 to 12 external referee letters, peer institutions and independent
  - 3 to 5 internal referee letters
  - 5 named comparison peers required, professor rank at peer institutions
  - 1 to 5 trainee letters



# Review Committees

- The long form for promotion is reviewed by the University Advisory Board
- Review process:
  - Departmental committee
  - Departmental faculty or A&P committee
  - Department Chair
  - School of Medicine A&P committee
  - Vice Dean and Dean
  - Provost
  - University Advisory Board
  - President



# Resources on OAA Website

- Reappointment and Promotion Overview
  - <http://med.stanford.edu/academicaffairs/professoriate/reappointment.html>
- SoM Faculty Handbook
  - <http://med.stanford.edu/academicaffairs/administrators/handbook.html>
- University Faculty Handbook
  - <http://facultyhandbook.stanford.edu>



# Questions

- Questions or discussion?