

GUIDELINES FOR OBTAINING AUTHORIZATIONS TO EXTEND AN OFFER REQUIRED FOR ALL SENIOR HIRES

PRIOR TO EXTENDING AN OFFER:

- The university recognizes the guidelines set forth by the AAU, the Big Ten Academic Alliance, and the AAUP concerning recruitment of instructional faculty:
- 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 (August 30 for the Winter 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.
- AAU waivers are required for all tenure-track faculty, regardless of rank and institution, whose offers may not be made by the appointed deadline. This is a matter of professional courtesy, which we expect from our colleagues at other institutions and which we want to extend to them as well. With respect to junior faculty, such courtesy may be even more relevant, as these faculty may do more teaching than senior colleagues.

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 AEO request when it is forwarded to the provost’s office.

GENERAL NOTES:

- All senior hires require an Authorizations to Extend an Offer (AEO) for Instructional Tenure track, Clinical Instructional Track, Research Professor track and must be approved by the provost and president prior to an offer being extended to the candidate:
 - Professors (with and without tenure)
 - Associate Professors (with and without tenure)
 - Research Professors
 - Research Associate Professors
 - Clinical Professors
 - Clinical Associate Professors
- All Research Professor and Research Associate Professor requests require review and approval by the Vice President for Research. Please address the dean’s/director’s letter to both the Provost and the Vice President for Research.
- The Executive Vice President for Medical Affairs (EVPM) should endorse all Medical School requests.
- All AEOs are reviewed by the vice provosts. Once reviewed the AEO proceeds to the Provost for their review and approval. If approved, the AEO is then sent to the President for final approval.
- For Research Professors and Research Associate Professors only, the provost’s office also obtains a review by the Vice President for Research.

- Once the AEO is approved, the appropriate school/college/research/academic unit is notified, and a PDF file of the signed approval form is emailed to the school/college/research unit/academic unit.
- For Instructional Tenure track appointments (both with and without tenure) the school/college contacts the candidate and makes the offer. Once the final offer has been accepted, the school/college prepares a Regents Communication (RC) and sends it to Academic Human Resources (trendell@umich.edu) for review. The approved final signed RC is uploaded to the unit's "Regents Communication" Dropbox folder.
- For Research Professor track and Clinical Instructional track appointments only: Once the AEO is approved the school/college/research unit/academic units may proceed with the HR appointment process.

INSTRUCTIONS:

- Please upload a bookmarked PDF file of the following materials for each AEO to the designated Dropbox folder for your unit.
- Once uploaded to Dropbox email our office at Provost.Fac.Acad.Affairs.Admins@umich.edu with the candidate's name, requested title and start date. It is also helpful to know if there are any extenuating circumstances with request (timeliness, concerns, etc.).
- Metadata documents are not required for these requests.
- Feel free to contact the Academic and Faculty Affairs Office at 764-0151 or email Provost.Fac.Acad.Affairs.Admins@umich.edu with any questions about the process.

A. Cover letter from dean/director to include:

1. The cover 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.
2. Effective date of the appointment.
3. Candidate's current title(s) and whether tenured or not.
4. Substantive description of the candidate's work and significant contributions to the field – this should be more than a listing of titles.
5. Description of the appointment in the context of the field and the specific needs of the school, college, and/or department. Please also describe the relevance to the vision and mission of your unit and the university.
6. A clear description of the search process and the long-term hiring plans leading to the candidate's selection (including the nature of the search – e.g., open or targeted; composition of pool; information about candidates at each stage of the search).
7. Description of the candidate's experience and quality of teaching.
8. Please summarize the evaluative comments of each unit's executive committee and include the final vote tally without names, such as 4-2-0 (i.e., # of positive votes-# of negative votes-# of abstentions/recusals) of all faculty groups (search committee, departmental votes and/or executive committees) that voted on the requested potential hire according to your unit's hiring policies and account for abstentions or recusals, and provide background information for any negative and/or abstention/recusals.
9. Do not identify reviewers by name or institution when quoting from an external reviewer, identify as Reviewer A, B, or C, etc.
10. If the regular (*not adjunct*) Instructional Tenure track, Research Professor track, or Clinical Instructional track appointment is offered in more than one unit, it should be handled simultaneously by all units. The cover letter requires the signatures of the deans/directors from all schools/colleges/research units/academic units where the individual will hold the Instructional Tenure track, Research Professor track, or Clinical Instructional track 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%).

11. For appointments of a candidate as a tenured associate or full professor include a detailed justification of the recommendation to appoint with tenure at the relevant rank.

B. Chair's letter (if applicable):

1. Please provide any letters or reports from department or division chairs to the dean/director recommending the candidate's appointment.
2. This letter should be similar to the deans/directors cover letter and include substantive description of the hiring process within the department as well as any departmental votes. Please elaborate on any nuances of the specific case.

C. Candidate's current curriculum vitae:

1. Check the accuracy and completeness of the information in the curriculum vitae (i.e., current title and academic standing).

D. Evidence of experience and quality of teaching:

1. Provide an explanation of the teaching evaluation system and where the candidate ranks in the system (quantitative evaluations on teaching).
2. Teaching evaluations should be summarized in this section. Please do not include individual student feedback, though we reserve the right to request individual evaluations by students, if needed.
3. Include a teaching statement from the candidate.
4. For an appointment on the Research Professor track: if the candidate has not taught formal classes and teaching evaluations are unavailable, provide 3-5 letters from mentees not currently under the candidate's supervision (e.g., former post-doc students) who can provide feedback on the candidate's teaching and mentoring.

[Additional Guidance on the Teaching/Mentoring Criteria for the Research Professor Track can be found on the U-M Office of Research website.](#)

E. Include a research statement or statement about creative work from the candidate (if appropriate).

F. Include a service statement (if appropriate).

G. Include a diversity statement (if provided).

H. Sample of Letter Sent to External Reviewers to Solicit Recommendations.

Please provide a copy of the letter template (solicitation letter) to the external reviewers asking for their evaluations. See the templates provided for the Instructional Tenure track, Clinical Instructional track, and Research Professor track. At a minimum, the text in these templates must be used. Schools and colleges may add text to the language of the template; however, for legal reasons, they cannot delete any existing language. It is the responsibility of the dean/director to ensure that department chairs, or the appropriate equivalent, follow the templates provided. Also include, as an attachment with each solicitation letter, a description of the particular track(s) on which the faculty member is being hired.

I. Evaluation Letters by all External Reviewers.

Overview

1. At least five evaluation letters from “arm’s length” external reviewers are required, and more than five are highly desirable, except for faculty hired into the Clinical Instructional Track (detailed information below).
2. All external review letters 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.
3. In addition to the above rank requirement, the following track requirements apply:
 - External reviewers who are tenured faculty can review a candidate being appointed to the Instructional Tenure track, Clinical Instructional track, and Research Professor track.
 - External reviewers who are Clinical Instructional track faculty can only review a candidate being appointed to the Clinical Instructional track.
 - External reviewers who are Research Professor track faculty can only review a candidate being appointed to the Research Professor track.

Note: If, for example, an external reviewer who is a Clinical Instructional track faculty were to review a candidate being appointed to the Instructional Tenure track, the letter from the reviewer would not be counted as one of the five required “arm’s length” letters.

4. Our goal is to achieve a balance of evaluative letters from external reviewers who have been suggested by the candidate and from reviewers who have been suggested only by the department. For the Instructional Tenure track and the Research Professor track, the five required “arm’s length” letters must include at least two from reviewers suggested only by the school or department. This requirement is not applicable to Clinical Instructional track appointments.
5. Letters that do not explicitly address the track/rank for the appointment being sought will not count for the required arm’s length letters.
6. There should be no more than two external reviewers from the same institution.
7. The external 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.
8. Not at arm’s length letters provide value and can be especially helpful because the letter writers generally have a good sense of both the candidate and their work. If such letters are included, they must be in addition to the minimum requirement of five “arm’s length” letters. Examples of not at arm’s length letters are:
 - a. Teachers, advisors, mentors, and current faculty colleagues
 - b. Co-authors and major research collaborators, or former faculty colleagues are also not “arm’s length” unless the most recent collaboration occurred over 10 years prior to the appointment.
 - c. We do not consider letters from persons who have served on a candidate’s thesis or dissertation committee to be “arm’s length”.
9. Please note that when both an outside reviewer and the candidate are members of the same large cooperative/research group that publishes abstracts and manuscripts with an expanded number of co-authors, the outside reviewer can be considered an “arm’s length” reviewer if he/she and the candidate have not personally interacted in the research effort. In these cases, we ask that the dean provide a statement noting the absence of a direct collaboration.

10. It is important that the Clinical Instructional track parallel the Instructional Tenure track and 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 Instructional track faculty AEOs 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 ordinarily defined for the Instructional Tenure track and Research Professor track.
 11. Non-academic reviewers (e.g., employed at the NIH or a major research institute) may be included in the five required "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 candidate is being considered.
 12. An external letter from an emeritus/ta faculty member could be considered one of the five required "arm's length" letters if it meets "arm's length" criteria and if the faculty member is still academically active (e.g., still publishing) and is relatively recently retired.
 13. Internal review letters (University of Michigan) are not required however, if letters were solicited, they must be included but will be considered "not at arm's length."
- J. Brief description of the credentials of each external reviewer and relationship to the candidate. Please list external reviewers alphabetically by last name, identifying each in sequence as Reviewer A, B, C, etc.

In this section of the AEO, include a cover sheet that includes the following:

1. A listing of "arm's length" external reviewers who provided review letters.
2. A listing of "non-arm's length" external reviewers who provided review letters.
3. A listing of external reviewers who were asked to write a letter but declined and the reason for declining.
4. A listing of any internal U-M reviewers.

For the above four categories:

1. List all external reviewers alphabetically by last name.
2. Identify all external reviewers in sequence as Reviewer A, B, C, D, E....
3. Include a brief bio on each reviewer:
 - a. An abridged version (one 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. Additionally, please insert the short paragraph of the reviewer's biography in front of each external review letter, including designation of "arm's length" or "non arm's length" and whether the reviewer was suggested by the candidate or by the department.
4. Designate each reviewer as "arm's length" or "non arm's length".
5. Indicate whether the reviewer was suggested by the candidate or by the department.

- K. 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 and tenured 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 page on the provost website for MOU templates.](#)
- MOUs are not required for joint appointments for clinical instructional track appointments within the University of Michigan.
 - [MOUs for research faculty are strongly recommended and templates can be found on the U-M Office of Research website.](#)
- L. 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.
- M. A copy of the Appointment Activity Record (AAR) or a waiver from Human Resource Records and Information Services (HRRIS).

****The AEO request cannot be processed without each of the above items****

CHECKLIST

AUTHORIZATIONS TO EXTEND AN OFFER FOR

Professor (with and without tenure)
Associate Professor (with and without tenure)
Research Professor
Research Associate Professor
Clinical Professor
Clinical Associate Professor

- [Refer to the AEO Guidelines for important details.](#)
- Please upload a bookmarked PDF file of the following materials to the unit's designated AEO Dropbox folder.

Please include the following items in the order below:

1. Endorsement letter/memo from the dean/director (if joint appointments, co-signed by both deans/directors).
2. Chair's letter (if applicable).
3. Curriculum vitae.
4. Evidence of experience and quality of teaching to include teaching statement and documentation of teaching effectiveness. (This should be in a summary or table form. Please do not submit individual student comments.)
5. Research statement (if appropriate).
6. Service statement (if appropriate).
7. Diversity statement (if provided).
8. Sample of Letter Sent to External Reviewers to Solicit Recommendations.
9. Brief description of the credentials of each external reviewer and relationship to the candidate.
 - a. Please also insert the description in front of each external reviewer letter.
10. External reviewer letters.
11. Internal reviewer letters (if solicited).
12. Memo of Understanding (MOU) for joint appointments with effort.
13. A copy of the draft offer letter for associate and professor **without tenure** appointments only.
14. AAU Waiver, if needed.
15. Appointment Activity Record (AAR) or waiver of posting from Academic HR.