

Preparation of Dossier for Duke-NUS Senior / Principal Research Scientist Appointment / Promotion for Submission to Duke-NUS AP Committee (Wef 1 Jan 2017)

Candidates who are fully engaged in research and have no teaching or other academic duties are recommended for Senior / Principal Research Scientist appointments. For a Duke-NUS Senior / Principal Research Scientist appointment / promotion, the candidate's dossier for submission to the Duke-NUS Appointments and Promotions (AP) Committee will need to include (in chronological order) the following:

- 1. AP Cover Letter**, which is prepared by the Principal Investigator (P.I.) and addressed to the AP Committee, summarising the qualifications of the candidate with reference to the appointment / promotion criteria of Senior / Principal Research Scientist, in support of the candidate's appointment / promotion. The letter is to be signed by the P.I. and SRP / ACP / Centre Director. Please use the *Template 1 - AP Cover Letter for Senior / Principal Research Scientist Appointment / Promotion*.

Table 1. Criteria for Principal Research Scientist

Principal Research Scientist	
Standard	<p>Demonstrated excellence in research, with indicators of sustainability over the long term.</p> <p>Consistent record of service with evidence of leadership would lend weight in the assessment.</p>
Specific Criteria	<p><u>Research</u></p> <ul style="list-style-type: none"> • Research focus as evidenced by body of work established • An accomplished researcher with a PhD Degree and generally 6 or more years' postdoctoral research experience • Research quality and productivity • Research impact • Research independence and leadership • International recognition of research contributions • Record of assisting in securing of research funding • Capability in driving research initiatives • Creative professional activity • Other performance indicators related to research such as research awards etc. <p><u>Service</u></p> <ul style="list-style-type: none"> • Consistent record of service with evidence of active participation in his/her University and country, profession, and the international academic community. • Contributions to teaching, where applicable, will also be taken in account.

Table 2. Criteria for Senior Principal Research Scientist

Senior Principal Research Scientist	
Standard	<p>Demonstrated excellence in research, with sustained indications of leadership.</p> <p>Excellence in service would lend weight in the assessment.</p>
Specific Criteria	<p><u>Research</u></p> <ul style="list-style-type: none"> • Research focus as evidenced by body of work established • An outstanding researcher with a PhD Degree and generally more than 12 years' postdoctoral research experience • Research quality and productivity • Research impact • Research leadership • International visibility as evidenced by e.g. invitations to give addresses at major conferences • Record of assisting in securing of research funding • Capability in driving research initiatives • Creative professional activity • Other performance indicators related to research such as research awards etc. <p><u>Service</u></p> <ul style="list-style-type: none"> • Clear record of service with consistent and sustained indications of leadership to his/her University and country, profession, and the international academic community. • Contributions to teaching, where applicable, will also be taken in account.

2. Candidate's CV

For Senior / Principal Research Scientist appointments, use *Template 2 - Duke-NUS / SingHealth CV Template* for CV submission. For promotion of existing research staff to Senior / Principal Research Scientist, CVs submitted must be in the Faculty Profile System (FPS) generated CV format. The online FPS can be accessed through: <https://webapps.duke-nus.edu.sg/fps/home/#/>

3. Reference Letters on Candidate

The number of reference letters on the candidate will depend on the proposed appointment rank to be surfaced to the AP Committee. Please refer to *Template 3 - Letter to Referee requesting for Reference Letter (AP)*

It is important to indicate in the request for reference letter the proposed appointment rank that the SRP / ACP / Centre would like to appoint / promote the candidate to.

Note:

1. Reference letters (i.e. arm's length / non-arm's length) should be solicited from referees who are of the same academic (a) rank and (b) type or higher than that for which the candidate is being considered. An exception can be granted for the following instance:
 - (i) Reference letters from referees without academic titles but who (a) hold key leadership positions in any reputable organisation or (b) are highly recognised within the field of their expertise and who are from renowned institutions / organisations, can be counted toward the minimum number of letters required.
2. Arm's length referees are referees who:
 - (i) have not collaborated scientifically with the candidate in the past 5 years;
 - (ii) are not from the same institution as the candidate (Note: The different institutions within SingHealth are considered as 1 single institution as they are all under the same SingHealth cluster.);
 - (iii) are not former or current supervisors of the candidate;
 - (iv) have no personal connections with the candidate (i.e. they could be colleagues in a similar field but have no further substantive connections).
3. Collaborators are defined as individuals with whom the candidate has:
 - (i) published in the past 5 years; or
 - (ii) an on-going research collaboration.
4. Local referees are referees based in Singapore, while international referees are those based outside of Singapore.

Please refer to Table 3: Requirement of Reference Letters for Senior / Principal Research Scientist for details.

Table 3: Requirement of Reference Letters for Senior / Principal Research Scientist

S/N	Appt Type	Academic Track	Type of Tenure Appt	Academic Rank	Minimum No. of Reference Letters Required	No. of Reference Letters to be Solicited From			Notes
						Non-Arm's-Length Referees		Arm's Length Referees	
						Local / International	Local		
1	Research Scheme of Service	-	Non-Tenure Track Appt	Principal Research Scientist	4	Maximum 1	No Restriction	Minimum 3	<ul style="list-style-type: none"> The P.I. and / or SRP / ACP / Centre Director solicit(s) the letters independently of the candidate. Up to 3 of the referees can be suggested by the candidate. The rest of the referees should be chosen by the P.I. and / or SRP / ACP / Centre Director independent of the candidate. The AP cover letter from the P.I. and SRP / ACP / Centre Director supporting the candidate for appointment / promotion to Principal Research Scientist can be counted as a reference letter.
				Senior Principal Research Scientist	6	Maximum 1	No Restriction	Minimum 4 (Recommend 1 from Duke University)	<ul style="list-style-type: none"> The P.I. and / or SRP / ACP / Centre Director solicits the letters independently of the candidate. Up to half the no. of referees can be suggested by the candidate. The rest of the referees should be chosen by

S/N	Appt Type	Academic Track	Type of Tenure Appt	Academic Rank	Minimum No. of Reference Letters Required	No. of Reference Letters to be Solicited From			Notes
						Non-Arm's-Length Referees		Arm's Length Referees	
						Local / International	Local		
									the P.I. and / or SRP / ACP / Centre Director independent of the candidate. <ul style="list-style-type: none"> The AP cover letter from the P.I. and SRP / ACP / Centre Director supporting the candidate for appointment / promotion to Senior Principal Research Scientist can be counted as a reference letter.

Updated as at 1 Jan 2018

<Choose a date>

Appointments and Promotions (AP) Committee
Duke-NUS Medical School (Duke-NUS)

Dear AP Committee Members,

Re: Dr <Enter Candidate's Name>

On behalf of <Enter Name of SRP / ACP / Centre>, I hereby present to the Duke-NUS AP Committee the recommendation for the <Choose Proposed Recommendation> of Dr <Enter Candidate's Name> as <Choose Proposed Appointment> at Duke-NUS <Choose Promotion Date (only applicable for promotion, delete accordingly)> <Enter year for promotion (only applicable for promotion, delete accordingly)> .

Please provide a 2 to 3-page write-up supporting the candidate's appointment / promotion. The SRP's / ACP's / Centre's recommendation should address the following criteria:

(A) For Principal Research Scientist Position

1. Candidate should have:

- (i) demonstrated excellence in research, with indications of sustainability over the long term; and
- (ii) consistent record of service with evidence of leadership.

2. Research

- (i) Research focus as evidenced by body of work established
- (ii) An accomplished researcher with a PhD degree and generally 6 or more years' postdoctoral research experience.
- (iii) Research quality and productivity
- (iv) Research impact
- (v) Research independence and leadership
- (vi) International recognition of research contributions
- (vii) Record of assisting in securing of research funding
- (viii) Capability in driving research initiatives
- (ix) Creative professional activity
- (x) Other performance indicators related to research such as research awards, etc

3. Service

- (i) Consistent record of service with evidence of active participation in his / her University and country, profession, and the international academic community.
- (ii) Contributions to teaching, where applicable, will also be taken into account.

(B) For Senior Principal Research Scientist Position

1. Candidate should have:

- (i) demonstrated excellence in research, with sustained indications of leadership; and
- (ii) excellence in service.

2. Research

- (i) Research focus as evidenced by body of work established
- (ii) An outstanding researcher with a PhD degree and generally more than 12 years' postdoctoral research experience.
- (iii) Research quality and productivity
- (iv) Research impact
- (v) Research leadership
- (vi) International visibility as evidenced by e.g. invitations to give addresses at major conferences
- (vii) Record of assisting in securing of research funding
- (viii) Capability in driving research initiatives
- (ix) Creative professional activity
- (x) Other performance indicators related to research such as research awards, etc

3. Service

- (i) Clear record of service with consistent and sustained indications of leadership to his / her University and country, profession, and the international academic community.
- (ii) Contributions to teaching, where applicable, will also be taken into account.

For either position, please also indicate the candidate's:

- (i) current engagements with Duke-NUS, if any.
- (ii) proposed roles / responsibilities in Duke-NUS given the appointment / promotion.

In view of the above, it is my great pleasure to recommend the <Choose Proposed Recommendation> of Dr <Enter Candidate's Name> as <Choose Proposed Appointment> at Duke-NUS.

Sincerely,

<Enter Principal Investigator's Name>
<Enter Academic Rank & Designation>
<Enter Name of SRP / ACP / Centre>

<Enter SRP / ACP / Centre Director's Name>
<Enter Academic Rank & Designation>
<Enter Name of SRP / ACP / Centre >

Enclosures:

Candidate's Curriculum Vitae
<Enter Number> Reference Letters

Please attach photo below:

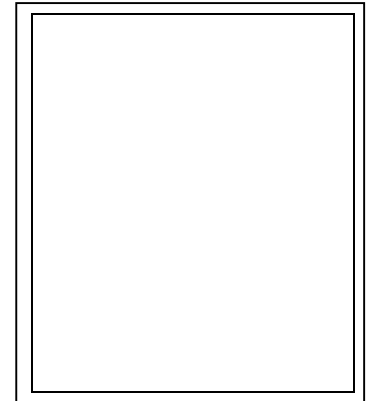
Duke-NUS / SingHealth CV Template

(For Faculty and Senior / Principal Research Scientist Appointments)

Updated as at _____

Please do not delete any sections and use "NA" for no entry.

Please use continuation pages when necessary.



(1) Personal Particulars

Full Name: _____

Last Name: _____

Date of Birth : _____

Nationality : _____

Gender : Male / Female

(2) Brief Biography *(Compulsory, in 1-2 paragraphs)*

(3) Current Appointment Details

Please refer to section (7) Professional Training & Academic Career (Employment History) for more information

Institution of Primary Appointment: _____

Secondary Appointment(s), if any *(include clinical faculty appointment with NUS if applicable)*:

Present Rank(s) and Title(s) in Duke-NUS: _____

(4) Educational & Training Qualifications

Qualification	Country	Name of School / Institution / University	Date of Attainment	Input "X" if Highest Qualification

(5) Certification & Licensure

(A) Medical Professional License

Licensing Board	Licensing Number	Date (DD/MM/YYYY)	Country

(B) Specialty Certificate

Certificate Board	Certificate Number	Name of Medical Sub-Specialty	Year	Country

(6) Membership in Professional & Academic Societies

Organisation(s)	Rank / Title / Position	From (YYYY)	To (YYYY)

(7) Professional Training & Academic Career (Employment History)

Listing of all professional training and work experiences to-date, i.e. training rotations, past and present appointments, beginning with the first postgraduate position.

Academic / Clinical / Research / Administrative / Industry:

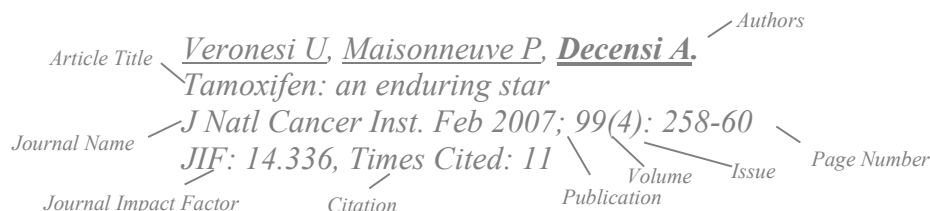
Training Type	Hospital / Institution / Organisation	Rank / Title / Position	From (MM/YYYY)	To (MM/YYYY)

(8) Major Personal Events (Optional)

Inclusive of personal events that might have a bearing on the review of the faculty appointment, promotion or tenure application, e.g. childbirth / maternity leave, major illness requiring extensive leave, loss of property, or disruption of lifestyle.

(9) Publications

*Inclusive of Authors, Article Title, Journal Name, Date of Publication, Volume / Issue / Page Number with candidate's name in **bold**. For example:*



Candidates who are being put up for regular rank (1) Associate Professor with tenure, (2) Professor with tenure (3) Professor (non-tenure) or (4) Senior Principal Research Scientist appointment should include the following:

- (i) *Journal Impact Factor of every journal published for the last 5 years;*
- (ii) *No. of citations for every publication published for the last 5 years (Optional)*

*Sequential listing of publications (#1 being the oldest) **excluding publications that are submitted for review but have not been accepted or published.***

(A) Refereed Journals

Refereed articles are scientific publications that have active editorial boards and a system of critical review of all submissions for publication. [Ulrichsweb](#) provides a list of refereed journals.

(i) Original Articles

(ii) Review Articles

(iii) Letters (e.g. to Editor), Editorials & Case Reports

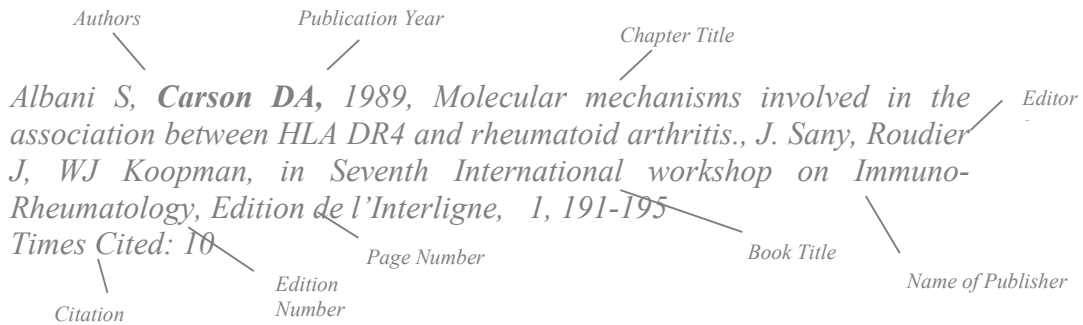
(B) Non-Refereed Publications

Non-refereed publications refer to those which do not routinely use a system of critical review prior to publication; such articles are often solicited by the publisher.

(i) Review Articles

(ii) Books & Chapters

*In the format as shown and with name in **bold** (as book author/editor):*



(iii) Letters (e.g. to Editor), Editorials & Case Reports

(iv) Abstracts (Optional)

(C) Top 10 Publications *(from the most impactful publication onwards. Optional for regular rank / Adjunct (1) Instructor and (2) Assistant Professor candidates)*

Rank	Article Title	List of Authors with candidate's name in bold	Publication Name	Edition no.	Publication Year	Remarks (*Indicate Candidate's Role and Contributions)
1						
2						
3						
4						
5						

6						
7						
8						
9						
10						

(D) h-index (Required for (1) Associate Professor with tenure, (2) Professor with tenure, (3) Professor (non-tenure), (4) Adjunct Associate Professor, (5) Adjunct Professor and (6) Senior Principal Research Scientist appointments)

Inclusive of h-index, method for calculation [e.g. Google Scholar Citations (preferred), Web of Science] and date that the index was determined.

(10) Intellectual Property/ Technology Declarations

(A) Total number of Duke-NUS affiliated Invention Disclosures submitted :

(B) Total number of Duke-NUS affiliated Trademarks submitted :

(C) Total number of Duke-NUS affiliated Patents filed :
Inclusive of provisional and published patents.

(D) Total number of Duke-NUS affiliated IP granted / registered :
Inclusive of copyrights and trademarks registered.

(E) Duke-NUS Patents Published

Title	Inventor(s)	Publication Date	Publication Number	Patent Office

(F) Duke-NUS Copyrights and Trademarks Registered

Registration Date	Type	Title	Inventor(s)	Registration Number	Country

(G) Duke-NUS Technology Declarations

Title	Inventor(s)	Application Date	Application Number	Patent Office	Date Granted	Patent Number (if granted)

(H) Other Intellectual Property (Trademark / Copyright / Patent)

Registration / Publication Date	Type of IP	Title	Inventor(s)	Registration / Publication Number	Country	Patent Office

(I) Other Technology Declarations

Title	Inventor(s)	Application Date	Application Number	Patent Office	Date Granted	Patent Number (if granted)

(J) Licences / Agreement with Companies

Registration Date	Type	Title	Company	Licence/ Agreement Number	Country

(11) Editorship

Inclusive of roles (e.g. editor, reviewer or member of editorial board) in editorship of journals and books.

(12) Education Activities (Teaching Portfolio)

Chronological listing of activities related to Medical Education, or educational activities related to Research / Clinical Innovation, beginning with the oldest.

(A) Educational Philosophy (500 words max):

Inclusive of the following elements: personal theory of learning, goals of instruction, role and responsibility of the student and instructor, and a description of the variables that promote learning.

(B) Seminars / Lectureships

(i) Local

(ii) International

(C) Teaching Activities in Local Institutions *(Optional for Faculty candidates who are PhD Research Investigators)*

(i) Undergraduate Education:

Inclusive of date, title of teaching, audience and evaluation (if available).

(ii) Postgraduate Education:

Inclusive of date, title of teaching, audience and evaluation (if available).

(D) Leadership Positions or Roles in Education / Clinical Innovation / Commercialisation / Industry

(e.g. Course Directorship, Curriculum Planning / Development Committees / Facilitation of Start-Ups, etc.)

Inclusive of the title, date / period, audience, a brief description and frequency conducted.

(E) Advisory / Mentoring Role:

Inclusive of date (range from - to), student name, student level (medical student, fellow, postgraduate, faculty, resident) and title of student work.

(F) Educational Administration:

Inclusive of the period of engagement, organisation and your title / role.

(G) Continuing Medical Education (date, title, certificate):

Inclusive of date, title and certificate with description on strategies implemented to improve teaching.

(13) Clinical Activities

(Applicable to candidates with >50% FTE in Research or Medical Education)

*List of previous and current year clinical activity - type of practice and estimate of time commitment:
(list in order of % time commitment from highest to lowest %)*

(14) Conferences Attended and Speaking Invitations

Chronologically listed, beginning with the oldest.

(A) With Oral Presentations

(B) With Poster Presentations

(C) Without Presentations *(Optional for PhD Research Investigators)*

Conferences attended (without abstract / poster presentation).

(15) Research & Innovation Activities

(A) Research & Commercialisation Funding Support

(i) Current Funding

Listing of Funding Support from role as PI first, followed by that of Co-I / Collaborator. As Co-I / Collaborator, to indicate dollar quantum of funds to Co-I / Collaborator's lab.

Project Title or Startup Name	Role (eg. PI, Co-I, Founder etc)	Origin	Name of Grant (if applicable)	Funding Agency	Project or Startup Funding Start Date	Duration (if applicable)	Amount	Currency

(ii) Past Funding

In reverse chronological order, with role as PI first, followed by that of Co-I / Collaborator. As Co-I / Collaborator, to indicate dollar quantum of funds to Co-I / Collaborator's lab.

Project Title or Startup Name	Role (eg. PI, Co-I, Founder etc)	Origin	Name of Grant (if applicable)	Funding Agency	Project or Startup Funding Start Date	Duration (if applicable)	Amount	Currency

(iii) Pending Proposals

Listing of submitted proposals which are under consideration only, from role as PI first followed by that of Co-I / Collaborator. As Co-I / Collaborator, to indicate proposed dollar quantum of funds to Co-I / Collaborator's lab.

Project Title or Startup Name	Role (eg. PI, Co-I, Founder etc)	Origin	Name of Grant (if applicable)	Funding Agency	Project or Startup Funding Start Date	Duration (if applicable)	Amount	Currency

(B) Collaboration with Local and Overseas Institution

Inclusive of project status, i.e. completed / ongoing

(C) Research Interests

(16) Committee Work

(A) Hospital

(B) Ministry of Health

(C) University / Medical School

(D) Professional Bodies

(E) Others

Contributions towards Industry may be listed here.

(17) Awards & Honours

(A) Academic / Clinical / Research / Innovation Awards

(B) Others

Features of innovative work may be listed here.

(18) Top 10 Contributions *(Optional for PhD Research Investigators)*

List of contributions beginning with the most significant. Committee work and editorship of journals, etc. may be listed here.

Rank	Description of Contribution	Year of Contribution
1		
2		
3		
4		

5		
6		
7		
8		
9		
10		

(19) Hobbies / Special Interests *(Optional for PhD Research Investigators)*

Note: In submitting this CV, I hereby agree to it being shared between Duke-NUS and SingHealth in association with any official matters in either or both of these institutions.

<Date>

Dr <Referee's Name>
<Referee's Designation>
<Name of Department>
<Name of University or Company or Institution>
<Referee's Address>

Dear Dr <Referee's Surname>:

Dr <Candidate's Name> is being considered for <promotion to / appointment at> the rank of <Senior Principal Research Scientist / Principal Research Scientist> at the Duke-NUS Medical School (Duke-NUS). We would be most grateful if you could help us by evaluating Dr <Candidate's Surname>'s research and scholarly achievements. We are providing <his / her> curriculum vitae for your consideration.

In the Duke-NUS system, <Senior Principal Research Scientists / Principal Research Scientists> are accomplished investigators whose focus is primarily on research excellence. In making your evaluation of <his / her> accomplishments, it would be helpful if you would - after defining your relationship to Dr <Candidate's Surname> and the research area in which <he / she> works - evaluate and comment upon the following:

1. Dr <Candidate's Surname>'s achievements and status compared to other scientists in <his / her> field who are at similar stages in their careers;
2. The scope and significance of <his / her> research interests and activities, with respect to the following:
 - Research contributions as evidenced by body of work established; research quality, productivity, and impact.
 - Record of assisting in securing of research funding.
 - Contributions to training of research students and staff.
 - Creative or otherwise distinctive professional activity.
3. Whether, based on your knowledge of <his / her> work and the enclosed curriculum vitae, Dr <Candidate's Surname> would be appointed as a <Senior Principal Research Scientist / Principal Research Scientist> in your institution;
4. Any additional insights that may be helpful in determining whether or not to recommend this appointment as <Senior Principal Research Scientist / Principal Research Scientist> be awarded.

We would appreciate a reply by <deadline>, if at all possible. Please send your letter to me at <SRP / ACP / Centre Director's or secretary's email address: XXXX> or fax it to me at +65 <fax number>. Thank you in advance for taking the time to do this. Your response will be maintained in confidence.

Sincerely,

Dr <Requestor's Name>
<Requestor's Designation>
<Name of Department>
<Name of University or Institution>

Enclosure:
Candidate's Curriculum Vitae