

# Understanding the AF Research titles

How to be Successful in the UC Davis  
Academic Federation

Philip Kass

Vice Provost for Academic Affairs



# Where to find information

UC DAVIS

## Academic Affairs

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- Academic Employment Opportunities (RECRUIT)
- Academic Personnel Manual
- Annual Call
- Attributes Chart
- Deans, Directors & Department Chairs List
- Delegations of Authority
- Extramural Letter Requirements Chart
- Frequently Asked Questions
- MOUs
- Salary Scales
- Step Plus System
- UCD Policy & Procedures Manual (PPM)

Serving the professional academic community at UC Davis





## Academic Personnel Manual



### Table of Contents

Universitywide policies listed below begin with "APM." UC Davis policies and procedures begin with "UCD" and are highlighted below. Not all Universitywide policies have UCD procedures. Universitywide policies are issued by the Office of the President and apply to all campuses and laboratories. UCD procedures are developed by Academic Affairs and issued by the Offices of the Chancellor and Provost and apply only to UCD, which includes all units under the jurisdiction of UC Davis, located in Davis, Sacramento, and all off-site locations.

Throughout these policies, the term "Chancellor" refers to the Chancellor and/or the Chancellor's designee. Responsibilities that cannot be redelegated by the Chancellor are stated explicitly within the policy.

Select a link to view the specific section:

[I. General University Policy Regarding Academic Appointees](#)

[II. Appointment and Promotion](#)

[III. Recruitment](#)

[IV. Salary Administration](#)

[V. Benefits and Privileges](#)

#### I. General University Policy Regarding Academic Appointees

<a href="#">APM 005</a>	Privileges and Duties of Members of the Faculty
<a href="#">APM 010</a>	Academic Freedom
<a href="#">APM 015</a>	The Faculty Code of Conduct
	<a href="#">UCD-015, Procedures for Faculty Misconduct Allegations</a>
	<a href="#">Exhibit A, Examples of Unacceptable Faculty Conduct</a>
	<a href="#">Exhibit B, Allegations of Misconduct Request for Review</a>
<a href="#">APM 016</a>	University Policy on Faculty Conduct and the Administration of Discipline





## Step Plus System

### Step Plus System

[Overview of the  
Step Plus System](#)

[Key Features of the  
Step Plus System](#)

[Suggestions for Conducting  
Departmental Votes](#)

[Guidelines for Advancement -  
Senate](#)

[Guidelines for Advancement -  
Federation](#)

[Guide for Step Plus Promotions](#)

[Above Scale Merits in  
the Step Plus System](#)

Beginning in 2012, a series of three workgroups of UC Davis faculty, administration and staff reviewed ways to streamline the personnel process: the Academic Senate Taskforce on Simplifying the Academic Personnel Process (STAPP), the Academic Personnel Streamlining Implementation Workgroup (APSIW), and the Joint Senate-Administration Workgroup on Step Plus Policies and Procedures (SAWSPPP). Reports from these groups may be found in the [Historical Documentation](#). These deliberations have resulted in a series of recommendations that will streamline and enhance the personnel process. The Step Plus System will allow the campus to realize a significant reduction in the number of personnel actions per year, thus saving staff and faculty time. Step Plus also allows evaluations to be done based on a more complete and consistent time window, and increases the likelihood that deserving candidates who have not historically put forward their dossiers for accelerated review will benefit from their excellent performance.

For all of these reasons the Step Plus system, as described below, was implemented effective July 1, 2014 and adopted immediately for personnel actions in the Senate titles of Professor, Professor in Residence, Professor of Clinical\_\_\_, and Acting Professor of Law. On June 15th, 2015, the Academic Federation (AF) voted to implement the new Step Plus System for the following title series: Adjunct Professor, Agronomist in the Agricultural Experiment Station (AES), Specialist in Cooperative Extension (CE), Health Sciences Clinical Professor, Professional Researcher, Project Scientist, and Specialist.

### Overview of the Step Plus System for Personnel Actions

A. Normative schedule. All merits are considered on a fixed two-, three- or four- year schedule, as determined by normative time at their current rank and step. Normative time is defined in [APM 220-18](#) and can also be found on the [Step Plus System Salary scales](#). At every review, the individual may be considered for more than one step, i.e. 1.5 steps, 2 steps, etc. ([Guidelines for Advancements](#))

> [Academic Enrichment Fund \(AEF\)  
Accounts](#)

> [Academic Personnel Manual](#)

> [Step Plus System](#)

> [Academic Advisories](#)

> [Access to Records](#)

> [Ad Hoc Committees](#)

> [Annual Call](#)

[Annual Call for Unit 18 Members](#)

[Historical Annual Calls](#)

> [Appointment and Advancement](#)

# Academic Affairs

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Quick Links <

Serve the academic community at UC Davis

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Unit (RA Unit)

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Academic Personnel  
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Post UAW Strike  
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Associate Professor  
Network >

Complaint Processes &  
Resources

Deans & Chairs >

Delegations of  
Authority

Frequently Asked  
Questions (FAQs)



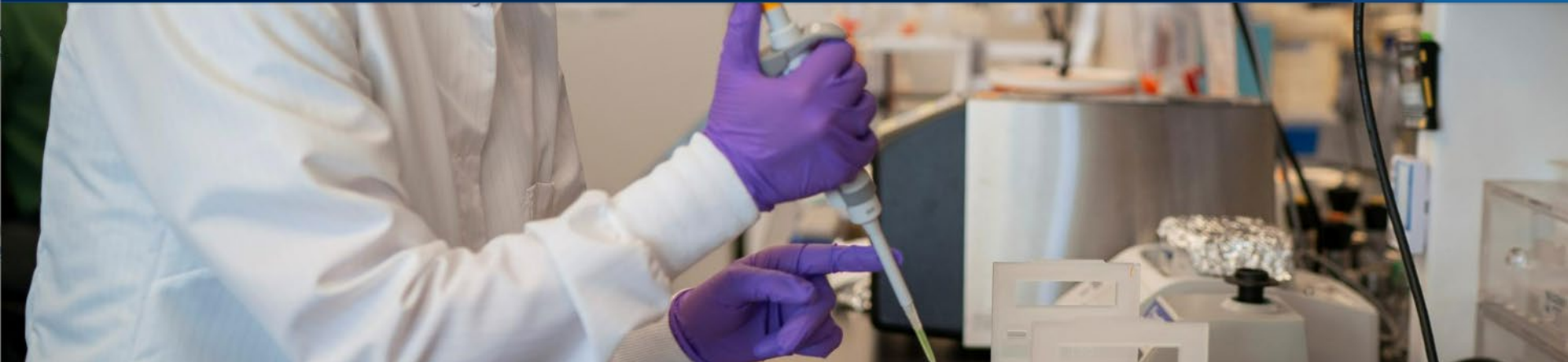


# Academic Affairs

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[Academic Affairs](#) > [Resources](#) > [Academic Researchers Unit \(RA Unit\)](#)

## RA Unit Resources

[Compensation](#)

[Leaves](#)

[Memorandums of Understanding \(MOUs\)](#)

[Academic Researcher MOU](#)

[Academic Researcher Forms & Checklists](#)

[Academic Researcher Template Letters](#)

[Appointment and Reappointment](#)

[Appointment and Reappointment - Process for Variable Appointment or Temporary Augmentation in Appointment](#)



## Resources

[Academic Researchers Unit \(RA Unit\)](#)

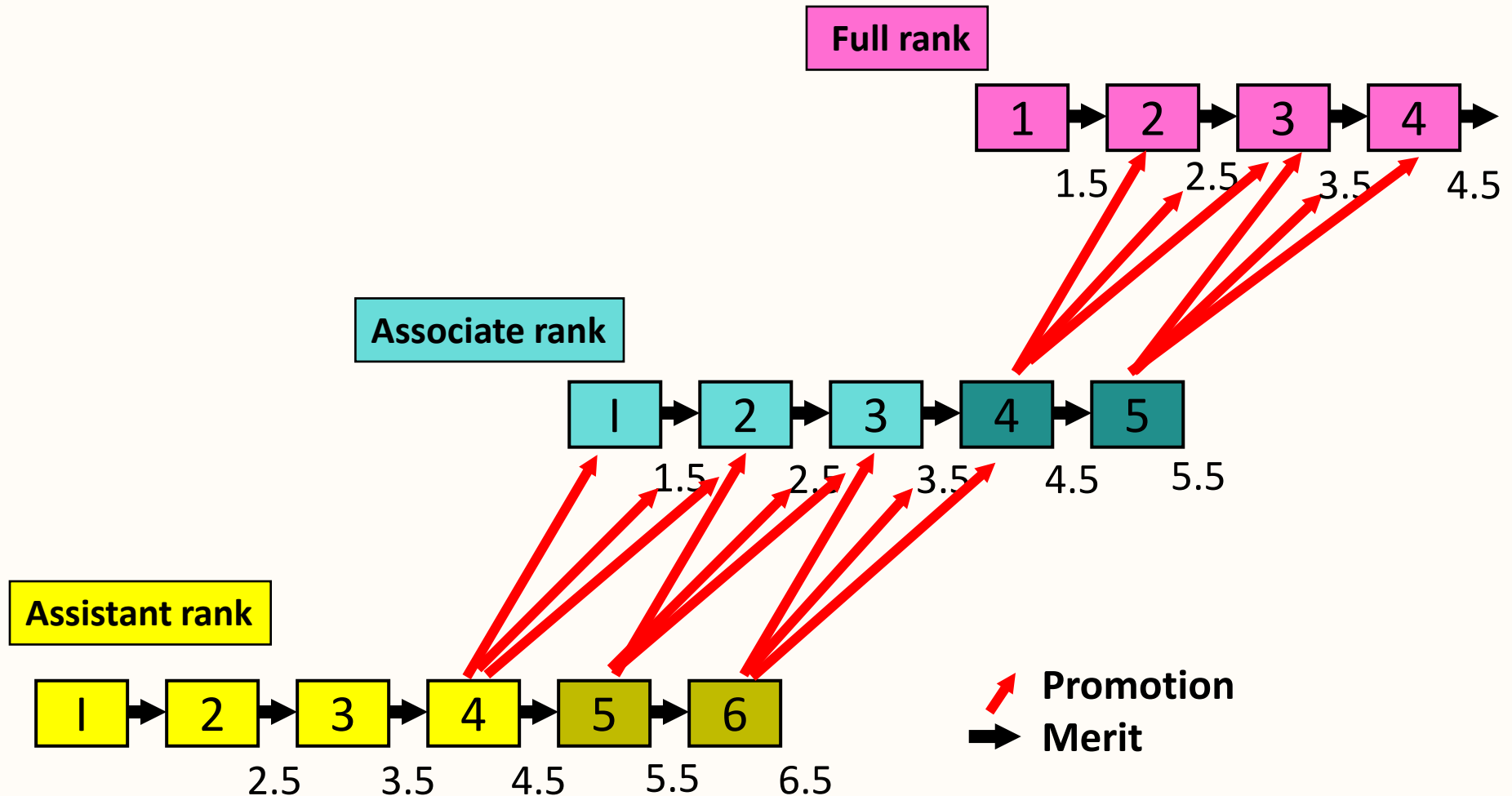
[Coronavirus \(COVID-19\) Academic Personnel Information](#)

[Post UAW Strike Archive](#)

# The basics of advancement

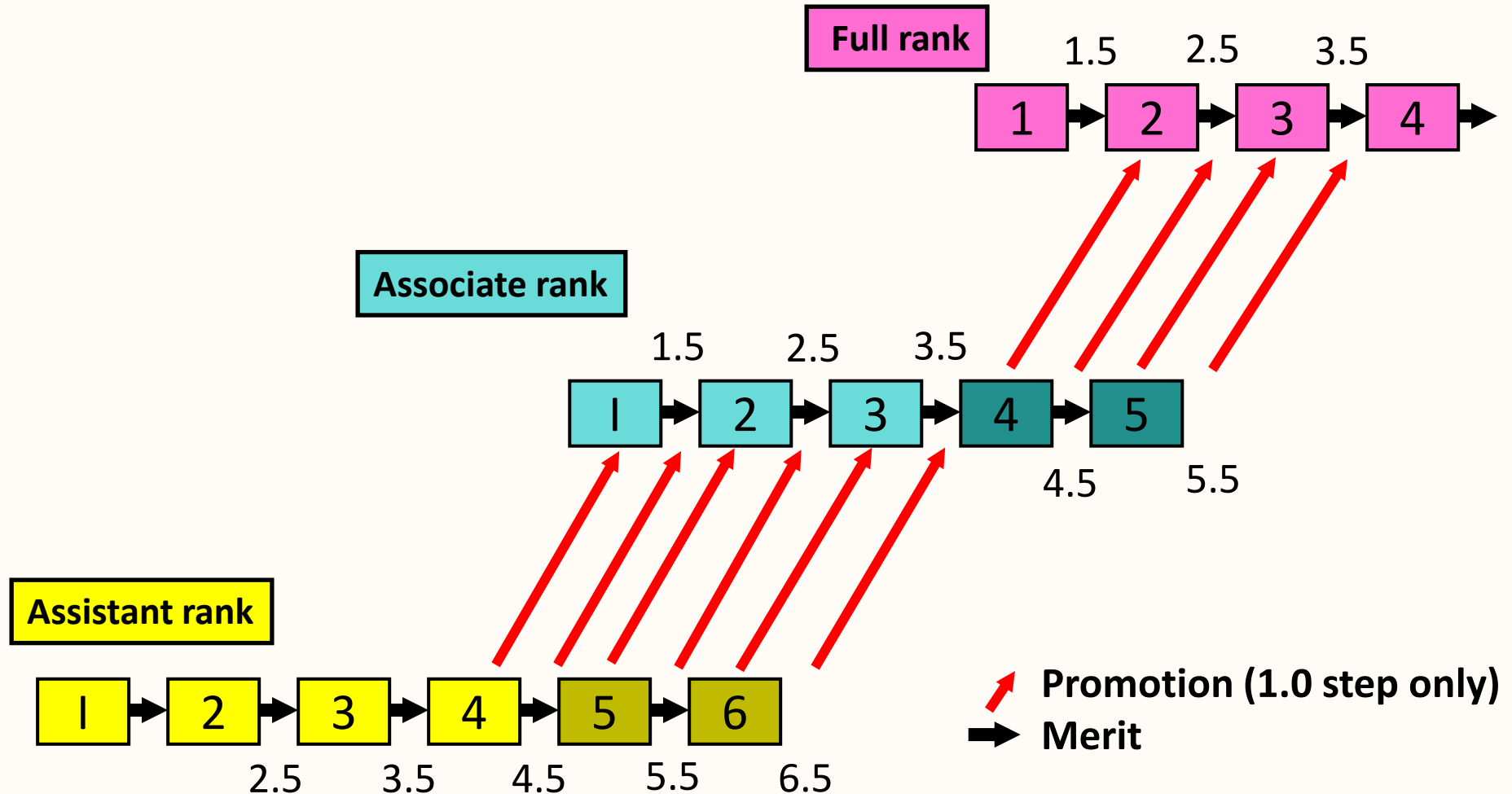
- If you are performing well in all expected areas, you should be able to advance within your series at regular intervals
  - Merit advancements can be considered every 2-4 years, depending on your rank and step
  - Promotions (to Associate or full rank) typically involve longer periods of review
- Your department will be notified when you are eligible for merit review, but you should be aware of your eligibility, as well.
- ... and what *is* a merit advancement??

The UC Davis **Step Plus system** allows Academic Federation members to move faster (1.5 or 2.0 steps) based on greater-than-expected performance





The UC Davis **Step Plus system** also allows Academic Federation Members to **accelerate in time** only when promoting, and only 1.0 step is allowed.



# The UC Davis Step Plus system

- You are eligible for **merit advancement** after *normative time* at your current step (2, 3, or 4 years)
  - Under Step Plus, you may elect to be considered for up to 1-step, 1.5-steps or 2-step advancement
  - If you defer, you are eligible again the next year
- **Promotion** to the Associate or Full rank can occur prior to normative time, but can only be considered for 1 step



# The UC Davis Step Plus system

- “Regular” advancement, for performing well in all areas of review, is 1 step
- Under Step Plus:



- **Outstanding performance** in any **one area** of review qualifies for **1.5-step** advancement



- **Outstanding performance** in **two areas of review**, including your core area, qualifies for **2.0-step** advancement
- Advancement of >2.0 steps can occur, but is extremely rare





# Who decides?

- You are given an opportunity to select the maximum advancement you will accept, based on funding information provided by the PI (if your position is grant funded)
- Your department makes a recommendation
- Your case is evaluated by the Joint Academic Federation/Academic Senate Personnel Committee (JPC), which makes a recommendation
- The decision is made by your dean for most merits, or by the Vice Provost for promotions and recommendations for >1.5 steps

# Academic Personnel Review

- One of the most important ways you can plan for your advancement is to **regularly document** your roles, contributions, and fulfillment of expectations to a research enterprise
- Regardless of what Academic Federation title you hold, there are ways of effectively *recording* and *communicating* your accomplishments to your peers

# Academic Personnel Review

- Your peer group and/or your department will be **voting** on your merit/promotion action
- The rules on who is eligible to vote on your action have been established by your department and have been approved by the Joint Personnel Committee
- These are available to you so you can understand who is eligible to vote and who is eligible to provide comments



# ***MyInfoVault (MIV) is your electronic dossier***

- Typically, you will enter your own information ... *keep it current!*
- Some departments will provide assistance
- Publications can be downloaded through PubMed or Endnote
- There is good online assistance

# Academic Affairs

[People](#) > [Resources](#) > [Policies](#) > [Programs](#) > [Tools](#) > [Workshops](#) > [Honors](#) > [Diversity](#) >



[Quick Links](#) <

## Serving the professional community at UC Davis

Academic Personnel  
History & Information  
Database (APHID) >

Data & Statistics

E-Verify

Electronic Form  
Submission

Event Management  
System (EMS)

Faculty Satisfaction  
Survey Reports  
(COACHE)

Grant Writing Links and  
Resources

Hiring Goals & History

MyInfoVault (MIV) >

UC Outside Activity  
Tracking System (UC  
OATS) >

Position Planning Tool



## MyInfoVault (MIV)

### Background

MyInfoVault, also known as MIV, is an online database that houses academic personnel research, creative activity, teaching and service data, and creates and routes electronic dossiers for academic peer review. It also allows for creation and routing of academic leave of absence requests. The program is sponsored by Academic Affairs with technical assistance from Information and Educational Technology (IET). MIV is used by academics and academic personnel staff across campus and the health system to process all action types.

**MyInfoVault***Click to enter MyInfoVault*

### MIV Users Group

The role of the MIV Users Group is to provide insight and recommendations directly to Academic Affairs staff, who use that advice in their work with the MIV development team. The charge of the Users Group is to assist the MIV development team with:

- improving current features of MIV;
- identifying potential new features;
- providing input on the development of these features; and
- prioritizing future enhancements.

### MIV Team

MIV is supported by a team of functional and technical staff members. In Academic Affairs, Brian Darnell is the functional team leader. Lara Stilling provides analysis, training, and help desk support. In IET, Stephen Paulsen and Jacob Saporito are the developers. Together, they are responsible for keeping the project on track, including programming and testing the new code, informing the campus of ongoing activities that will affect the use of the program, and responding to requests for assistance. To contact the team with problems or suggestions for improvement, e-mail us at [miv-help@ucdavis.edu](mailto:miv-help@ucdavis.edu).

### Uses for MIV

MIV is used to prepare and route all academic actions for Senate and Federation members through the review process, including both redelegated and non-redelegated actions, as well as new appointments for individuals being recruited from outside the Davis campus. MIV is also used to route academic leave of absence requests. Academic users of MIV also have the ability to generate a curriculum vitae or an NIH biographical sketch.

- > Contacts for UC OATS
- > Academic Personnel History & Information Database (APHID)
- > Frequently Asked Questions
- > Data & Statistics
- > E-Verify
- > Electronic Form Submission
- > Faculty Satisfaction Survey Reports (COACHE)
- > Grant Writing Links and Resources
- > Hiring Goals & History
- > MyInfoVault (MIV)

Frequently Asked Questions

Training &amp; Resources

D





## Training & Resources

MyInfoVault (MIV) has help pages within the program, which can be accessed by selecting "Help" in the upper right corner of any page in MIV. In addition, the below handouts are available for both staff and academics. Classes and demonstrations are scheduled periodically throughout the year through Staff Development and Professional Services.

### User Guides for Academics

- [Signing the Disclosure Certificate](#) [PDF]
- [Guide for Dossier Reviewers](#) [PDF]
- [Creating a Curriculum Vitae](#) [PDF]
- [Guide for Signing as a Dean](#) [PDF]
- [How to Request a Leave](#) [PDF]
- [How to Sign a Recommendation or Decision on a Leave Request](#) (as a Dept. Chair or Dean) [PDF]

### User Guides for Staff

- [Entering Data on Behalf of a Candidate](#) [PDF]
- [Creating Actions and Packets](#) [PDF]
- [Managing the Open Action](#) [PDF]
- [Uploading Extramural Letters](#) [PDF]
- [Creating the Candidate's Disclosure Certificate](#) [PDF]
- [Creating and Managing Review Groups](#) [PDF]
- [Opening Reviews & Assigning Reviewers](#) [PDF]
- [Creating New Appointments](#) [PDF]
- [Adding a New User](#) [PDF]
- [Managing User Accounts](#) [PDF]
- [Using Reports in MIV](#) [PDF]
- [How to Create a Leave Request for an Academic](#) [PDF]
- [Forms Online to MIV Leave Type Conversion Guide](#) [PDF]
- [Leave Date Conversion Tool](#) [XLS]

In addition to the written guides listed above, you can view training videos by clicking the button below.

[Training Videos](#)

> [Contacts for UC OATS](#)

> [Academic Personnel History & Information Database \(APHID\)](#)

[Frequently Asked Questions](#)

> [Data & Statistics](#)

> [E-Verify](#)

> [Electronic Form Submission](#)

> [Faculty Satisfaction Survey Reports \(COACHE\)](#)

> [Grant Writing Links and Resources](#)

> [Hiring Goals & History](#)

> [MyInfoVault \(MIV\)](#)

[Frequently Asked Questions](#)

[Training & Resources](#)

[Enhancement Process](#)

[Pending Enhancements](#)

[Completed Enhancements](#)

[Testimonials](#)

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- > MyInfoVault (MIV)
  - Frequently Asked Questions
  - Training & Resources

 [Home](#)

## Forms

[Manage Forms](#) (0)[Search Forms](#)

## My Dossier

[My Packet Requests](#) (0)

## Sign Documents

[View My Complete Dossier/Sign My Disclosure Certificate](#) (0)[Review](#)

## Review Dossiers

[Assign Dossier Reviewers](#)[Review Other Candidate's Dossiers](#) (0)

## Open Actions

[Manage Open Actions](#)[View Dossier Snapshots](#)

## Pinned Actions

You can pin actions here so they are instantly available.  
Look for the pin icon in Open Actions and search results.



# Candidate's Statement

- Your opportunity to educate your department and peer voting group about your contributions
- Not everyone will understand the expectations of your title, therefore ...
  - Make sure that your position description is current and includes all the expectations of your title.
  - Refer to these expectations in your candidate statement!

# Candidate's Statement

- A Candidate's Statement accomplishes what a dossier can't:
  - It should be a guide to what is in the dossier *without repeating it*
  - It should be **analytical**:
    - *What are your professional accomplishments?*
    - *Why are your contributions important?*
    - *What impact did your contributions have on the research enterprise?*
  - Use it as an opportunity to **educate** those voting on your action

# Candidate's Statement

- Most importantly, write your candidate statement so that it can be understood and appreciated by non-experts!
  - *A good rule of thumb: present your research as though you were writing a grant proposal to a very general foundation*
- Do not write a statement longer than 5 pages.
- Be sure to describe any contributions you have made to diversity and equal opportunity.
  - *May be included as Candidate's statement of contributions to diversity and inclusion*



# The Dossier:

## What makes a one strong?

- Effective use of MIV to document *all* your relevant activities
- Thorough, detailed descriptions in the **“Contributions to co-Authored Publications”** section
  - Talk to the PI so you both have a mutual understanding of what your contributions are
  - It is very important to your career to ensure that you get credit and recognition for your contributions

# Academic Personnel Review

## Research Title

- **Specialist in Cooperative Extension**

(APM 334/APM  
-UCD 334)

## Expectation

- *Leadership* in conducting mission-oriented research and research-based educational outreach

# Specialist in CE series

Ranks and steps identical to those for Academic Senate faculty:

- Assistant rank: Steps 1 - 6.5
- Associate rank: Steps 1 – 5.5
- Full rank: Steps 1 – 9.5



# Specialist in CE series

Your dossier will be examined for:

- Extending knowledge: performance in distributing information to public and private stake-holders
  - Research-based outreach activities, training, publications that translate research and recommend best practices for stakeholders, public engagement and connection

# Specialist in CE series

Your dossier will be examined for:

- **Research (*especially applied*) and creative scholarly and applied work**

## **Peer-reviewed publications**

- Refereed and non-refereed journal articles, books and monograph chapters, proceedings chapters (only if refereed), editorials

## **Limited distribution**

- Compendiums of data, reports, extension teaching materials, video or audio tapes, popular articles, bulletins, leaflets, progress or annual reports to funding agencies or commissions, comments for commodity group newsletters (non-exhaustive list)

# Specialist in CE series

Your dossier will be examined for:

- **Professional competence and activity**
  - Serving on review panels, advising government agencies, reviewing manuscripts, serving on editorial boards
- **University and public service**
  - See above, plus:
  - Department, campus and university committees, mentorship activities (which sometimes can include teaching UC Davis students) ...



# Specialist in CE series

## Examples

## Documentation

- Research innovation ..... Candidate's Statement
- Team leadership ..... Candidate's Statement
- Develop projects ..... Candidate's Statement
- Write grants as PI / Co-PI ..... MIV: Grants and Contracts
- Write research publications ..... MIV: Publications
- Presentations ..... MIV: Publications/Presentations
- Contributions to abstracts ..... MIV: Publications/Abstracts
- Contributions to publications ... MIV: Publications
- Significance of work ..... MIV: Publications

# Academic Personnel Review

## Research Title

- **Professional Research Series**  
(RA Contract Article 21/  
APM 310)

## Expectation

- *Leadership* in creative and/or research activities  
(*equivalent to that of professorial series*)

# Professional Research Series

Ranks and steps identical to those for Academic Senate faculty:

- Assistant rank: Steps 1 - 6.5
- Associate rank: Steps 1 – 5.5
- Full rank: Steps 1 – 9.5



# Professional Research Series

## Criteria

A candidate for a title in this series must have earned a doctorate or its equivalent.

- a. Research qualifications and accomplishments equivalent to those for the Professor series
- b. Professional competence and activity equivalent to those for the Professor series
- c. University and/or public service

An Assistant Research (e.g., Physicist) is not required to participate in service activities. An Associate Research (e.g., Physicist) and a Research (e.g., Physicist) are expected to engage in University and/or public service, such as service on research review boards.

# Professional Research Series

The Professional Research series is used for appointees who engage in **independent** research equivalent to that required for the Professor series and not for appointees whose duties are limited to making significant and creative contributions to a research project or to providing technical assistance to a research activity. Appointees with Professional Research titles do not have teaching responsibilities.

*For additional information see Article 21 Section A  
or APM 310*

# Professional Research Series

An appointee in this series must demonstrate continuous and effective engagement in **independent** and creative research activity of high quality and significance, equivalent to that expected of the Professor series. Proposed merit increases and promotions in the Professional Research series shall be reviewed with the same rigor accorded to proposed merits and promotions in the Professor series.

*For additional information see Article 21 Section D  
or APM 310*



# Professional Research Series

- Your dossier will be examined for research/creative activity leadership and innovation primarily through:
  - **Publications**
    - First author
    - Senior author (clearly note mentoring role)
    - Last author
  - **Grants**
    - PI
    - Co-PI
    - Leadership in large-scale collaborative grants; independence is expected

# Professional Research Series

## Examples

## Documentation

- Research innovation ..... Candidate's Statement
- Team leadership ..... Candidate's Statement
- Develop projects ..... Candidate's Statement
- Write grants as PI / Co-PI ..... MIV: Grants and Contracts
- Write scholarly publications .... MIV: Publications
- Presentations ..... MIV: Publications/Presentations
- Contributions to abstracts ..... MIV: Publications/Abstracts
- Contributions to publications ... MIV: Publications
- Significance of work ..... MIV: Publications

# Academic Personnel Review

## Research Title

- **Project Scientist Series**

(RA Contract  
Article 22/  
APM 311)

## Expectation

- *Significant, original, and creative*

contributions to a  
research or creative  
project without an  
expectation of  
independence



# Project Scientist series

Ranks and steps identical to those for Academic Senate faculty:

- Assistant rank: Steps 1 - 6.5
- Associate rank: Steps 1 – 5.5
- Full rank: Steps 1 – 9.5

# Project Scientist Series

## Criteria

A candidate for a title in this series must have earned a doctorate or its equivalent.

- a. Demonstrated significant, original, and creative contributions to a research or creative program or project
- b. Professional competence and activity

Appointees in this series need not demonstrate the same independence or scholarly breadth as members of the Professor or Professional Research series. University and public service are encouraged but not required.

# Project Scientist Series

- Your dossier will be examined for research/creative activity competency and leadership primarily through:
  - **Publications**
    - Co-authorship is expected
  - **Grants**
    - Co-authorship is viewed favorably
  - **Management**
    - Laboratory, projects under a PI, in which you play an intellectual and conceptual role



# Project Scientist Series

## Examples

## Documentation

- Research contributions ..... Candidate's Statement
- Team management ..... Candidate's Statement
- Project creativity ..... Candidate's Statement
- Contribute to grants ..... MIV: Grants and Contracts
- Co-author publications ..... MIV: Publications
- Co-author abstracts ..... MIV: Publications/Abstracts
- Contributions to publications ... MIV: Publications
- Significance of work ..... MIV: Publications

# Project Scientist Series

- PI status is not automatically conferred in this series – it can only be granted by exception to policy
  - this is worth remembering if you want to move to the Professional Research series
- Assistant Project Scientists are *not* required to promote within eight years (unlike Professional Researchers)

# Academic Personnel Review

## Research Title

- **Specialist Series**  
(RA Contract  
Article 26/APM  
330/APM-UCD  
330)

## Expectation

- *Technical or specialized expertise*  
in support of a  
research or creative  
project without an  
expectation of  
independence or  
leadership



# Specialist series

Ranks and steps not identical to those for Academic Senate faculty and other Academic Federation research titles

- Junior Specialist: Steps 1 - 2
- Assistant rank: Steps 1 – 3.5
- Associate rank: Steps 1 – 4.5
- Full rank: Steps 1 – 9.5

# Specialist Series

## Criteria

- a. Performance in Research
- b. Professional competence and activity
- c. University and Public Service

Specialists may engage in University and/or public service provided these services comply with the requirements of the candidate's funding source. Such service should be related to the candidate's area of professional expertise and achievement. Service activities may be at the level of the department, the organized research unit (ORU), the college/school/division, the campus, the University, and/or the public. For example, Specialists may serve as a liaison with and respond to the needs of various industry organizations, state and federal agencies, and other external groups on issues related to their area of expertise. At the Junior and Assistant Specialist ranks, University and/or public service may be minimal.

# Specialist Series

## Examples

## Documentation

- Research contributions ..... Candidate's Statement
- Team value ..... Letters from collaborators
- Project creativity..... Candidate's Statement
- Contributions to grants ..... MIV: Grants and Contracts
- Contributions to presentations.. Candidate's Statement
- Contributions to abstracts ..... MIV: Publications/Abstracts
- Co-author publications ..... MIV: Publications
- Contributions to publications .... MIV: Publications
- Significance of work ..... MIV: Publications
- Reviewing proposals ..... MIV: Service
- Reviewing manuscripts ..... MIV: Service
- Service to profession ..... MIV: Service



# Specialist Series

- PI status is not automatically conferred in this series – it can only be granted by exception to policy
  - this is worth remembering if you someday want to move to the Professional Research series
- Assistant Specialists are *not* required to promote within eight years (unlike Professional Researchers and Specialist in CE)

# Thinking About the Future

Hoping to move to a different title series?

- PhD (or equivalent terminal degree) is required for Project Scientist, Specialist in CE, and Professional Researcher
- Work with your PI to gain additional technical skills and greater research responsibilities
- Contribute to authorship of **grants** and **research publications**
- Document your contributions to multi-authored efforts carefully and thoroughly

# Seeking Advice

- As academic employees of the University, you have the right to be mentored to help you be successful
- Seek help, and network with others in your AF series, as well as with Academic Senate members
- You have the right to be recognized for your work, so make sure that your department understands the research role you play and the contributions you make to its success





# Welcome to the Academic Federation

[About Us](#)

