

## CHECKLIST FOR MERITS AND PROMOTIONS

For the following Academic Federation series:

Professional Researcher

**Department** will submit to the dean's office the information listed below through MyInfoVault (MIV):

\_\_\_ Action Form

\_\_\_ Department recommendation, a well-documented letter containing:

- a. Concise evaluation of candidate's achievements in research and service (for Associate and Full ranks), as applicable.
- b. Statement delineating the academic responsibilities of the position.
- c. Report of the nature and extent of consultation and the vote of faculty members in the department. All department letters must report that the consultation and evaluation process was performed consistently with the Peer and Voting Group procedure, and the date the procedure was approved by the Vice Provost—Academic Affairs. A separate department letter is required containing the vote and comments from eligible non-senate faculty. Reasons for negative votes should be addressed in the department letter. Strongly recommend that all written comments be appended to the department letter.

\_\_\_ Include *Notification of advancement eligibility for an Academic Federation member*, appended to the department letter in MIV.

\_\_\_ Signed Candidate's Disclosure Certificate

\_\_\_ Extramural Letters. Required for promotions, merit to Professional Researcher, Step 6 or 6.5, and first merit to Above Scale, and discouraged for all other merits. Normally 6-8 letters are adequate. At least half of the letters should be "arm's-length." Include the following:

- a. List of all referees, including academic/professional title and expertise of each referee. Upload into MIV as a Non-Redacted letter.
  - i. This list must identify those nominated by candidate and those nominated by department. If the same name appears on both lists, they will be included on the department list.
  - ii. Indicate which referees are "arm's-length."
- b. Example of the solicitation letter. Do not include the name and address of a referee in the example. Upload into MIV as a Non-Redacted letter.
- c. Extramural letters. Both redacted and non-redacted versions should be uploaded into MIV. The following information should be marked on each of the extramural letters.
  - i. Stamp all letters "CONFIDENTIAL"
  - ii. Each letter must be identified separately by a letter or number that corresponds to the letter or number used in a. above, to ensure confidentiality of reviewers (APM 160).
  - iii. Each letter should be identified as being from either the "candidate list" or the "department list."
  - iv. Indicate whether the letter is "arm's-length" or "not arm's-length", according to the opinion of the department chair.

(See APM 210; APM 220-80-c. and UCD 220 Exhibit B for additional details.)

**NOTE:** "Arm's-length" letters are from external referees who are independent of the appointee, who are known scholars in the field, and who are able to provide an objective evaluation of the work. Use of external referees whom the reviewers may not regard as objective or independent, either because they are too close to the appointee professionally (collaborators, thesis supervisors, personal friends, teachers, etc.) or because they have a personal relationship with the appointee, may be included if they shed light on collaborations. An effort should be made to contact individuals who have not contributed letters for prior reviews for the same candidate. It is also desirable to have some referees who are familiar with the UC rank and step system since referees from within the University (outside UC Davis) can speak to the issue of the appropriateness of the step. Review UCD 220 IV.F.3. for further information on determining "arm's-length".

\_\_\_ Include all forms for *Notification of advancement eligibility for an Academic Federation member* since last positive advancement. Upload as Candidate's Statement in MIV.

\_\_\_ OPTIONAL – Candidate’s statement (1-5 pages only)

\_\_\_ OPTIONAL – Candidate’s diversity statement

\_\_\_ Position description, with a listing of percentage effort expected for each activity, signed by the supervisor and candidate (see sample position descriptions on the [Forms & Checklists](#) page on the Academic Affairs website).

\_\_\_ List of service activities

\_\_\_ Complete list of publications and/or creative activities (UCD-220-Exhibit C):

- a. Indicate those materials that have been added since last approved action, if applicable (draw a line).
- b. Indicate with an asterisk (\*) those publications included in the review period. (Note: these may appear above or below the line; e.g. delay in publication.)
- c. Indicate with a (X) the most significant publications.
- d. Indicate with a (+) major mentoring role publications.
- e. Indicate with a (@) refereed publications.
- f. In press items must have letters or emails indicating that items have been accepted for publication, unless the items are galley proofs. Attach the acceptance letters or emails to the manuscript in the supporting documents.

**NOTE:** The term "in press" designates works that have been accepted for publication without revision. Book contracts are not considered an "in press" item.

**NOTE:** If there is a link directly to the full publication (not an abstract), reprints do not need to be provided. Add the link to the article into the publication list(s) in MIV. Ensure all links are active or the dossier will be returned. If no such link can be provided, please provide a paper copy of the publication.

\_\_\_ List of contributions to jointly authored works (numbering corresponds with numbering on publications list). Candidates can list all authors, but should only describe their own contributions and leadership role to the work. Examples of leadership include activities such as developing the concept, inventing or applying novel analytic techniques, making key discoveries, changing the interpretation of findings and writing substantial sections of the paper. An estimate of the candidate’s percent contribution to the work should not be included.

\_\_\_ List of honors and awards, if any

\_\_\_ List of grants, if any

**SUPPORTING DOCUMENTATION** (will be returned to department after the review and decision is finalized):

\_\_\_ For merits to Assistant Professional Researcher, Step 2 through Professional Researcher, Step 5.5, and to Professional Researcher, Step 7 through 9.5: One copy of all items published or “in press” since appointment or the last positive merit action; copies of submitted manuscripts may be included at the option of the candidate. “In press” items must have letters or emails indicating that items have been accepted for publication and attached to the manuscript, unless galley proofs are submitted. Identify each enclosed publication with the corresponding number on the publication list.

**NOTE:** If the candidate will be advancing from Professional Researcher, Step 5 or 5.5 to Professional Researcher, Step 7 or 7.5, thus “skipping” the barrier step of Professional Researcher, Step 6, the period of service will be since appointment or promotion to full rank.

\_\_\_ For promotions and merit to Professional Researcher, Step 6 or 6.5: One copy of all items published or “in press” since appointment or promotion to current rank. Copies of submitted manuscripts may be included at the option of the candidate. “In press” items must have letters or emails indicating that items have been accepted for publication and attached to the manuscript, unless galley proofs are submitted. Identify each enclosed publication with the corresponding number on the publication list.

\_\_\_ For the first merit advancement to Above Scale: One copy of all items published or “in press” since appointment or promotion to the full rank. Copies of submitted manuscripts may be included at the option of the candidate. “In press” items must have letters or emails indicating that items have been accepted for publication and attached to the

manuscript, unless galley proofs are submitted. Identify each enclosed publication with the corresponding number on the publications list.

**NOTE:** If there are no physical supporting documents, the department should send an email to notify the dean's office that the dossier is ready for review in MIV and that there are no physical supporting documents. The same courtesy should be provided to the Senate Office and Academic Affairs when dean's offices route actions in MIV.

**Dean's office will provide:**

\_\_\_ Dean's final decision (redelegated merits) or dean's recommendation letter (non-redelegated merits/promotions). If the dean concurs with the department recommendation, the reviewing dean may opt to write a statement indicating that they have reviewed the dossier and agree with the recommendation of the department in lieu of writing a detailed letter.