

## Checklist for Appointments

For the following Academic Federation series:

### Professional Researcher

#### **Department must initiate and receive approval of Step 1 or Step 2 before assembling the appointment dossier:**

1. \_\_\_\_ If conducting a search, submit a completed Final Recruitment Report to the dean's office (UCD 500, <http://www.ucop.edu/academic-personnel/files/apm/apm-500.pdf>). Also attach a copy of the advertisements and the approved search plan.
2. \_\_\_\_ Or, if requesting a Search Waiver, submit a request through [Forms On-Line](#) to the dean, including:
  - a. The candidate's curriculum vitae
  - b. A position description

The dean will add their recommendation and the search waiver will be routed via Forms On-Line to the Vice Provost for review and consideration.

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**Department will submit to the dean's office**, in the order presented below, and collate each set (Redelegated Actions = original and one copy; Non-Redelegated Actions = an original and two copies).

\_\_\_\_ Recommended Action Form.

\_\_\_\_ Departmental letter of recommendation:

- a. Report of consultation and vote of eligible department members consistent with the departmental voting procedures, and the date the voting procedures were approved. Reasons for negative votes should be addressed in the department letter. Strongly recommend that all written comments be appended to the department letter.

**Note:** A peer group recommendation does not need to be provided for appointments but an approved peer group/voting group plan must be in place before committee review of the dossier.

- b. Analysis of the quality of the research, creative work and professional competence as applicable.

\_\_\_\_ Extramural letters:

- "Arms-length" letters are not required for appointments to the Assistant rank.
  - For appointments to Assistant Steps 1-3, the external letters deemed sufficient for recruitment may suffice for these proposed appointments.
  - For appointments to Assistant Steps 4-6, a minimum of 4-6 letters are adequate.
- Appointments at the associate or full ranks require 6-8 letters with at least 3 "arm's-length" letters.
- "Arms-length" letters are not required for any rank in the Health Sciences Clinical Professor series.

Include the following in the dossier:

- 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." At least three should be "arm's-length."

"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.

**NOTE:** Review UCD 220 IV.F.3.d. for further information.

- 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. 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 "arms-length" or "not arms-length", according to the opinion of the department chair.

**NOTE:** Upload the redacted and non-redacted versions of the extramural letters in MyInfoVault (MIV).

(See [APM 210](#); [APM 220-80-c.](#) and [UCD 220 Exhibit B.](#))

\_\_\_\_\_ Position description, with a listing of percentage effort expected for each activity, signed by the supervisor and candidate. Use the sample position description on the Academic Affairs website:  
[http://academicaffairs.ucdavis.edu/resources/forms\\_checklists/index.html](http://academicaffairs.ucdavis.edu/resources/forms_checklists/index.html)

\_\_\_\_\_ Signed Biography Form

\_\_\_\_\_ Complete list of publications. List "in-press" items separately.

- a. Indicate those materials that have been added since last approved action (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 into 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 to the work and leadership role. An estimate of the candidate's percent of contribution to the work should not be included.

\_\_\_\_\_ List of honors, awards (if any)

\_\_\_\_\_ List of grants (if any)

### **Supporting Documentation** (will be returned to the department)

**MIV 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 there are no supporting documents. The same courtesy should be provided to the Senate Office and Academic Affairs when routing dossiers.

\_\_\_\_\_ One copy of publications, reprints, and manuscripts published or "in-press". "In-press" items must have letters or emails indicating that items have been accepted for publication (without revision) and attached to the manuscript, unless galley proofs are submitted. Identify each enclosed publication with the corresponding number on the publications list.

**Dean's Office** will submit the original and one copy of the dossier to the Office of the Vice Provost for non-redelegated actions. For redelegated actions, after the final decision has been made, the original dossier will be sent to the Vice Provost's Office as the office of record. In addition, the dean's office will provide:

\_\_\_\_\_ Dean's recommendation letter (if appointment approval is redelegated, dean's comments, if any). If the action is redelegated and the dean disagrees with the recommendation of the committee the dossier is forwarded to the Vice Provost with the dean's recommendation letter for final decision. If the dean concurs with the department recommendation on non-redelegated actions, the dean may opt to write a statement indicating that he/she has reviewed the dossier and agrees with the recommendation of the department in lieu of writing a detailed letter.