

## CHECKLIST FOR APPOINTMENT

For the following Academic Federation series:

Professional Researcher

**Department must initiate and receive approval of Step 1, or Step 2, or Step 3 and review Step 4 BEFORE assembling the appointment dossier:**

1. \_\_\_ If conducting a search, submit a completed Final Search Report via UC Davis Recruit to the dean's office (UCD 500, <http://www.ucop.edu/academic-personnel/files/apm/apm-500.pdf>). Make sure to complete the Search Conclusion for the recruitment after the Final Search Report has been approved.
2. \_\_\_ Or, if requesting a Search Waiver, **you must first review** the [Guiding Principles: Search Waiver for Academic Appointees](#) and the [Search Waiver Delegation of Authority](#) to determine if appropriate. A Search Waiver request must be entered and routed for approvals through [UC Davis Recruit](#). Once a Search Waiver request is approved, an appointment dossier that includes the items listed on the appointment checklist must be submitted, and routed for approvals through MyInfoVault (MIV).
3. \_\_\_ Or, if requesting an Exemption, **you must first review** the [Guiding Principles: Search Waiver for Academic Appointees](#) and the [Exempt Hires Delegation of Authority](#) to determine if appropriate. An Exemption request must be entered and routed for approvals through [UC Davis Recruit](#). Once an Exemption request is approved, an appointment dossier that includes the items listed on the appointment checklist must be submitted, and routed for approvals through MyInfoVault (MIV).
4. \_\_\_ **For a Foreign National Candidate:** Departments must consult with Services for International Students and Scholars (SISS) in a timely manner to determine the overall visa strategy for candidates who are not U.S. citizens or legal permanent residents. SISS visa processing and contact information is available at <http://siss.ucdavis.edu>.

All candidates must obtain proper nonimmigrant status (usually H-1B) before commencing employment. Departments needing to pursue permanent residency for a foreign national candidate should consult with SISS promptly to understand the legal criteria and process, and timing issues for UCD permanent residency matters (usually outstanding professor/ researcher or labor certification).

**NOTE:** "Special Handling Labor Certification" cases (which is often the quickest and easiest route to permanent residency) can only be filed for candidates selected after a competitive recruitment. The department must use at least one ad from a national professional journal with job title, duties, and requirements per Department of Labor regulations – and the application must be filed with the DOL within 18 months of selection. For further information please see the SISS website.

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**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. 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:

- "Arm's-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.
- “Arm’s-length” letters are not required for any rank in the Health Sciences Clinical Professor series.

**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 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.”
- 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.)

\_\_\_ Diversity statement, if any. If the applicant submitted a Statement on Contributions to Diversity in UC Davis Recruit, this should be entered as a Candidate’s Diversity Statement in MIV.

\_\_\_ 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).

\_\_\_ Curriculum Vitae, should include the following:

- a. Previous applicable employment: Full account of time from the date of first academic (or otherwise relevant) employment up to the present, including any periods when the appointee may not have been employed. **Any/all previous University of California employment must be included.**
- b. Degrees or certificates: Include dates of attendance; name of school, college, university or hospital (intern & resident); location; major subject or field; degree or certificate awarded; and date received.
- c. The following items should be included in the CV if the department chooses to upload a CV in place of completing data entry into MIV:
  - i. Memberships (if any): List memberships in scholarly societies, accreditation boards, civic organizations, etc. You may exclude any organization the name or character of which may indicate the race, religion, or national origin of its members.
  - ii. Honors and Awards (if any): List honors or awards such as Fulbright grants, Woodrow Wilson scholarships, special lectureships, medals, etc., and dates received.
  - iii. Published Writings and/or Creative Activities (if any): List all published writings and/or creative activities.

**NOTE:** Departments may upload the proposed appointee’s CV in place of completing data entry into MIV in any categories of the appointment dossier that are included on the CV.

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

- a. For Appointment via Change in Title, 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.

**NOTE:** If the CV is uploaded and no information on jointly authored works is provided in MIV, the department letter should describe the candidate's scholarly contributions and apparent leadership in collaborative creative work and research.

\_\_\_ 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):

\_\_\_ One copy of publications, reprints, and manuscripts that are available. Identify each enclosed publication with the corresponding number on the 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 recommendation letter (not required for redelegated appointment; however, dean's office should provide dean's approval letter). If the action is not redelegated and the dean concurs with the department recommendation the reviewing 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.