

Checklist for Merits and Promotions

For the following Academic Federation series

Professional Research

Department Responsibility in Assembling Dossier – The department will submit the following documentation in MyInfoVault (MIV) to the dean’s office.

___ Recommended Action Form

___ Departmental letter of recommendation:

- a. Results of vote; all departmental 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. Reasons for negative votes should be addressed in the department letter. Strongly recommend that all written comments be appended to the department letter.
- b. Analysis of the quality of the research and creative work
- c. Professional competence
- d. University service (for Associate and Full level only)

___ Signed Candidate's Disclosure Certificate

___ Extramural letters - Required for promotions and merits to Full level Step VI and merit to first Above Scale. (6-8 letters are normally adequate. At least three 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.

“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. for further information on determining “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. 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.)

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

___ 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)

___ OPTIONAL – Diversity statement

___ Position description, with a listing of percentage effort expected for each activity, signed by supervisor and candidate. Use the sample on the Academic Affairs website:

http://academicaffairs.ucdavis.edu/resources/forms_checklists/index.html

___ List of Service activities

___ 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 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 of 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. 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, awards (if any)

___ List of grants (if any)

Supporting Documentation (will be returned to department)

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 all items published or "in press" during the review period; 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 list.

___ For promotions and merit increases to Step VI, one copy of all items published or "in press" since appointment or promotion to current rank. "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.

_____ For merit to first Above-Scale, 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.

Dean’s office Responsibility in Assembling Dossier – The dean’s office will submit the dossier to the Office of the Vice Provost in MIV. In addition, the dean’s office will provide:

_____ Dean’s recommendation letter (if merit 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 must be edited in MIV to be non-redelegated, and forwarded to the Vice Provost with the dean’s recommendation letter for a final decision. If the dean concurs with the department recommendation, 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.