

ORU PROFESSIONAL RESEARCHERS* ACADEMIC REVIEW CHECKLIST

Department Responsibilities:

- _____ Copy of outside offer letter(s) – for retention files.
- _____ Adhoc/Executive Committee meeting and voting
- _____ Departmental recommendation letter: (*see Appendix A*)

P.I. Responsibilities:

- _____ Evaluation letter of Project Scientist's work by Mentor/P.I. Must indicate the proposed title, rank, step, salary and effective date. If this represents an acceleration, it should be indicated, and the acceleration must be fully justified in the body of the letter. (*see Appendix A*)
- _____ Referee I.D. list (for promotions)

Candidates Responsibilities:

- _____ Certifications A (signed before departmental review of the file) and B (dated after the candidate has been informed of the departmental recommendation). Certification C is included each time material is added to the file after the departmental recommendation is rendered, to demonstrate that the candidate has seen it.
- _____ Candidate's self-evaluation (optional)
- _____ Academic Biography and Bibliography packet (completed and signed by the candidate).
- _____ Publications: Include all publications since the last review/advancement. Work in manuscript form accepted for publication may be included. Work listed in Section C of the bibliography only recommended for proposed promotions or crossover actions.

ORU/AP Office Responsibilities: Prepare file using documents obtained from Department, P.I., Candidate and APO

ORU/AP Office will be responsible for the following:

- _____ Summary: Information is complete and consistent with the Academic Biography and Bibliography packet and the departmental recommendation letter.
- _____ UC Academic Employment History (consistent with biography data)
- _____ Copy of solicitation letter to external referees (as required). Advise the external referees in a properly worded solicitation letter of the meaning of the proposed advancement and ask them to analyze and evaluate (instead of merely praise) the candidate's work. If an acceleration is being requested, explain the type and amount of the acceleration. Include the University's confidentiality statement in the solicitation letter.
- _____ Ensure that the independence of the external referees and their qualifications with respect to their expertise in the field have been stated fully and clearly on the Referee ID List. (*This information should not appear in the departmental ad hoc report or the departmental recommendation letter.*)
- _____ External Letters: Are the required number included? Are the letters independent? Avoid use of external referees whom the reviewers may not regard as objective evaluators either because they are too close to the candidate professionally (e.g., collaborators, thesis supervisors, etc.) or because they have a personal relationship with the candidate.
- _____ Use external referees who are senior scholars. If external referees are not senior scholars or are not independent of the candidate, the department should explain why they were selected as the best-qualified referees. *This information should appear only on the Referee ID list.*
- _____ Ensure that the majority of external letters in the file are from referees selected by the department, rather than by the candidate.
- _____ Include in the file all external referee letters solicited and received by the department, whether or not the final departmental recommendation requires external letters.

Once all documents are received, ORU/AP Office will assemble and submit file to the Office of Research Affairs. Copies of the completed file will be sent to Department.

APPENDIX A

Evaluation of Candidate's work by **DEPARTMENT** (Can be combined with Adhoc/Executive Committee letter) should include the following:

- _____ Provide thorough justification when recommending award of, or policy exceptions for, a bonus or market off-scale salary. It is particularly important to provide justification for continuation of market off-scale beyond the six-year limit. When the proposed action is a no-change, and the candidate currently has an off-scale, the letter should explicitly state the proposed outcome for the off-scale (i.e., if it's a bonus, will it be tapered at the time of range adjustments in keeping with policy, maintained, or increased?) Additional justification is needed to maintain or increase a bonus off-scale salary.
- _____ Provide results of department consultation and vote. Explain any negative faculty votes, abstentions, absences, or lack of compliance with campus voting policy.
- _____ Note conflicts of interest in the file. If a faculty member or department chair has a financial or management interest in a company providing support for either a candidate's research or salary, the faculty member or chair should avoid contributing to the file. If such a faculty member does contribute to the file, his or her relationship to the company and the candidate should be detailed.
- _____ Evaluate the candidate's qualifications and effectiveness in research and creative activity, professional competence and activity, and University and public service.
- _____ Research
- _____ University & Public Service: Detail University or public service expected (Research Scientists only)

Evaluation of Candidate's work by **MENTOR/P.I.** should include the following: (*This is required for all Project Scientist appointments. Mentor/P.I. evaluation letters are not necessary for Research Scientist renewals*).

- _____ Scholars Name
- _____ Proposed action – Step and Salary
- _____ Percentage of Effort
- _____ Effective Dates
- _____ Research and Creative Activity:
 - a. Describe and evaluate the research and other creative activity conducted during the review period and its impact on the field. Explain the candidate's role in all collaborative and coauthored works where the candidate is not first or senior author. Indicate the standing of the journals and conference proceedings in which the publications appear, whether the journals are refereed, and the rate of acceptance/rejection.
 - b. For files proposing advancement to a crossover step, work in progress must be listed, discussed in the letter, and submitted with the file. It should be demonstrated that the candidate is making timely progress on the kind of substantial research and creative projects that are likely, when completed, to justify promotion. (CROSS-OVER IS STEP III TO IV, ASSOCIATE & FULL)
 - c. Indicate the candidate's success in obtaining support for research and other creative activity, including support for graduate students. The role of the candidate on grants should be indicated, with the number of other co-investigators provided.
 - d. The nature and quality of the candidate's service contributions should be described.