

## 1.3 Academic Appointee Responsibilities – Submission of Review Materials

### 1. General

Academic appointees must provide evidence of achievement in each of the criteria specified for their series, see table in [Section 1.5.1](#) of this manual. Appointees are responsible for assuring the accuracy of provided information and meeting the department's deadlines for submission of academic review file materials. Failure to do so may result in the academic review action being delayed until the next July 1 effective date.

If material is received after the departmental meeting and vote, the chair shall determine whether or not the added material is of such significance that it should be reviewed by all voting members and whether a new departmental meeting should be scheduled to reconsider the case. If the chair determines that the new material is not of such substance as to require a new departmental meeting and/or vote, the chair should take steps to include the material in the file and describe the degree of consultation and review of the material. The academic appointee also should be informed of the degree of additional departmental review and asked to sign Certification 3 as an indication of their awareness that the material has been added to the file.

### 2. Academic Appointee Materials

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| <b>Related Manual Sections:</b> | <a href="#">2.4.16</a> | <a href="#">3.4.23</a> | <a href="#">3.4.24</a> | <a href="#">3.4.25</a> |
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Academic appointees are expected to submit the following materials as applicable:

#### a. Biography and Bibliography Form

Regarding Service, the following points should be kept in mind in preparing the Biography:

- All items listed in Section II should have the associated dates (including start and end years).
- Delineating service as, e.g., departmental, school or University-wide is useful

Regarding the Bibliography

Candidates should clarify the extent of their contributions for multi-authored work listed in their Bio-Bib.

#### About Multi-Author Publications

As many areas of research become increasingly collaborative, it has become imperative for campus reviewers to have the ability to accurately assess the contributions and overall responsibilities of individual authors engaged in multi-authored research. To that effect, all candidates should clarify the extent of their contributions for every multi-authored piece listed in their Bio-Bibliography form. Authorship clarifications should be presented in a standardized manner.

Pertinent models as to how to do this across fields already exist, including models used by the journals [Nature](#) and [PNAS](#). CAP has noted they strongly prefer brief statements describing contributions to multi-author publications.

Files with an effective date of July 2, 2020 or later must include descriptions of the candidate's contributions to individual multi-authored research publications in order to provide campus reviewers a clear representation of their contributions to research during the review period. These descriptions should appear after each entry in the biography/bibliography. Files lacking these descriptions will be returned to the department for revisions.

#### About Biography/Bibliography Resources

Instructions on the completion of a Biography/Bibliography Form can be found [here](#).

Additional insight on how to best prepare a Biography/Bibliography for reviewers can be found by visiting the [Academic Senate Committee on Academic Personnel webpage](#) and reviewing the various documents housed under Guidelines for File Preparation, Annual Reports, Where CAP Stood, Tips for Personnel Files, and Frequently Asked Questions.

- b. Evidence of Teaching Effectiveness (If Applicable)
  - i. Examples include syllabi, evaluations, testimonials, thank-you letters, etc. **Candidates should refrain from directly soliciting their students for letters related to their advancement and/or review.**

- c. Copies of publications from the review period.
  - i. **Electronic publications** can be submitted via a shareable online file depository link. Examples include Google Drive or Microsoft One Drive.
  - ii. **Hardcopy publications** can be submitted to Academic Personnel Services. For assistance with submitting hardcopy publications, please contact your assigned Academic Personnel Analyst.
- d. Other items that the department chair may request.

#### About a Candidate's Failure to Submit Requested Materials

If an academic appointee does not provide updated material for the academic review file, the department chair should proceed with the review based upon the information that is available to the department. Although policy does not indicate a required number of attempts, departments should make a good faith effort to acquire the appointee's participation, common campus practice is three (3) attempts, and document of the effort should be included in the file if/when the candidate does not comply. In these situations, the submitted academic review file should document the department's efforts to obtain file materials from the appointee (e.g., copies of written requests/reminders).

### 3. Personal Statement

**Related Manual Sections:**     [2.4.9](#)            [3.4.13](#)

Academic appointees are strongly encouraged to provide a concise personal statement describing their research and creative activity, teaching, and service within the review period (which may include more detail than the Bio-Bib form). They may explain any extraordinary responsibilities and accomplishments and the significance of their research and creative activity and its impact on their field. They may also wish to provide information to ensure that special efforts, such as development of a new class, or unusual service contributions, are fully recognized and credited. If an academic appointee provides a personal statement regarding their achievements and future plans, this document should be so titled, and candidates should be encouraged to sign and date it. In the absence of a signed and dated personal statement, Certification 1A will suffice.

**About COVID-19 Impact Statements**

Candidates are encouraged to provide a statement explaining negative impacts on teaching, research, or service resulting from the global COVID-19 Pandemic. Candidates should not provide extensive descriptions of personal or private COVID-19 related hardships, but should detail how COVID-19 impacted specific areas of their academic series criteria. These statements should be included so reviewers can incorporate the consequences of the COVID-19 Pandemic into their academic judgment.

Additionally, academic appointees are welcome to draft two separate self-statements, one for distribution to potential external referees when departments solicit feedback and one directed at campus reviewers.

**About Multiple Personal Statements**

Academic appointees are welcome to draft two (2) separate self-statements, one for distribution to potential external referees when departments solicit feedback and one directed at campus reviewers.

The self-statement intended for campus reviewers should use layperson's language whenever possible to ensure included explanations are understandable to reviewers at all levels such as department colleagues, school deans, CAP members from across various disciplines, the Executive Vice Chancellor and/or Chancellor.

The personal statement intended for potential external referees may use discipline specific language that is understandable and specific to their peers and their field of expertise.

#### 4. Career Reviews (Promotion to Tenure/Security of Employment, Promotion to Full, Advancement to Step VI, Advancement to Above-Scale)

Academic appointees undergoing a career review should include scholarly accomplishments since their last career review, as well as a description of significant work produced earlier in their academic careers.

## 5. Academic Appointees with Teaching Responsibilities

Academic appointees with teaching responsibilities should provide information on the courses they have taught and graduate student mentoring. If the teaching involved the establishment of a new course, major revision of a course, new innovations in teaching, or other extraordinary efforts, these should be described. Academic appointees should also describe their service contributions, indicating whether they chaired any committees and detailing their committee responsibilities and workloads.

## 6. Career Equity Review

**Related Manual Sections:**     [3.2.12](#)

If eligible, academic appointees may initiate a Career Equity Review (CER). An academic appointee is responsible for requesting a CER at the time of their regular, on-cycle academic review. See [Section 3.2.12](#) of this document for additional information on Career Equity Reviews.