

## RESEARCH SERIES – ADVANCEMENT TO STEP VI OR INITIAL ABOVE SCALE (IAS)

### General Information (see [The CALL, Professional Research Series](#))

- There is no specific normal period of service at the steps above Step IV and eligibility based on years of service does not apply to advancements beyond Step V. Service at Steps V and above may be of indefinite duration.
- Advancement to Researcher VI, usually will not occur before three years of service at step V and will be granted on evidence of sustained and continuing excellence in scholarship or creative research achievement and service involving great academic distinction recognized nationally or internationally
- Advancement to Researcher AS, usually will not occur before four years of service at Step IX and is reserved only for the most highly distinguished Researchers whose work of sustained and continuing excellence in scholarship or creative research achievement and service has attained national and international recognition and broad acclaim reflective of its significant impact.
- Requires CAP review
- The department must review the candidate's performance since Promotion to Researcher for Advancement to Step VI or since Advancement to Step VI for IAS
- Service is required. Some examples of service activities are: service to community, state, nation, professional organizations, when the work done is at a sufficiently high level and quality, and service activities related to the improvement of elementary and secondary education.
- The effective date for advancement is July 1
- Researchers who have attained the rank of Above Scale may use the title "Distinguished Researcher" as a working title
- Additional procedural information can be found in the [Summary of Procedures, #9](#)

### Submit the following to Luskin:

- ☐ Original plus two (2) single-sided copies of the dossier.
- ☐ Publications. See below for details\*.

### Dossier Contents in the order below:

- ☐ [Merit Advancement to Step VI or Above-Scale Data Summary](#) cover page (emailed to Luskin Analyst)
  - Comment after the effective date if the action is "accelerated" or "deferred" and number of years
  - Annual salary for Step VI is to be taken from [Table 13](#), Professional Research Series Salary Scale
    - Salary above the proposed rank and step is considered off-scale
    - The Dean can consider an initial off-scale salary up to and including the next step or when maintaining current o/s percent, all other off-scale salary requests require justification for VC approval
- ☐ Updated **History Record**
- ☐ **Data Summary**, page 2
  - Candidate must initial this page, bottom right corner
- ☐ **Bibliography** ([L&S bibliography format](#) must be used)
  - Candidate must initial pages, bottom right corner
  - Mark "Since Last Review" in **all** sections
  - Refer back to the last action to make sure nothing is missing or duplicated
- ☐ **"Prior" Certification page** (Data Summary, page 3)
  - This page must be read by the candidate and signed **before** any departmental review (APM 220-80, c)
  - Information and evidence supplied by the candidate must be listed on bottom portion of this page (CV, self-statement, publications, etc.)
  - Option not to submit a Bias List must be indicated
- ☐ **Bias List, optional**
- ☐ **Self-Statement, optional**

- ☐ **"After" Certification page** (Data Summary, page 4)
  - This page must be read by the candidate before signing (APM 220-80, e)
  - Must be signed **after** the date on the "Prior" page and after the date on the department assessment
- ☐ If applicable, **candidate's written response** to the department assessment
  - See APM 220-80, e, and "After" certification page I and III
  - The candidate's written response should be included in the file, if appropriate
- ☐ **Department Assessment**
  - Vice Chancellor's Final**
    - Addressed to the Vice Chancellor from the Chair, or from the principal investigator and endorsed by the Chair, recommending the advancement
      - The first sentence **must** include the candidate's name, proposed rank and step, percent time, off-scale salary, and effective date
      - Include justification for the proposed off-scale or increase in off-scale
    - 2 page maximum
- ☐ **Chair's individual recommendation, optional**
- ☐ **Departmental ad hoc or standing committee report, if applicable**
- ☐ **List of Extramural (outside) evaluators solicited**
  - List all evaluators solicited, even if they did not respond
  - The list must indicate if the evaluator was suggested by the candidate, the department or both
  - A brief one paragraph biography is required for each evaluator listed
- ☐ **Department's sample solicitation letter with [Statement of Confidentiality](#)**
  - The department should use the [sample solicitation letter](#) for respective professor advancements as a guide
    - You may NOT change any part of the Statement of Confidentiality; it must be copied into a solicitation letter, or supplied as an attachment, in this exact text and in its entirety
  - Please write "Sample Solicitation Letter" at the top
- ☐ **Extramural (outside) evaluation letters**
  - All solicited letters received must be included in the dossier and stamped
  - If received electronically, include the first page of the email and place behind the corresponding letter
  - Please reference [Helpful Hints](#) for order of the letters
- ☐ **Department's Unsolicited sample solicitation letter with [Statement of Confidentiality](#), optional**
  - If an unsolicited letter of evaluation is included in the dossier, a letter should first be sent to the writer setting forth the Statement of Confidentiality ([CALL, Summary of Procedures #10](#)) and asking that individual to respond whether in light of this University policy the letter of evaluation should be included or returned. Conclude that if no response is received by an assigned date, it is assumed that the writer agrees to the inclusion of the evaluation letter.
  - Please write "Sample Unsolicited Letter" in the top right corner
- ☐ **Unsolicited letters**
  - All unsolicited letters received must be included in the dossier
  - If received electronically, include the first page of the email and place behind the corresponding letter
  - Reference [Helpful Hints](#) for order of the letters
- ☐ **CV**

### **Publications**

Boxes must be clearly labeled on both sides to include candidate's name, department(s), action, effective date, box number (e.g. 1 of 2), etc.

- All publications since last review and those that provide evidence of great distinction, including in-press and work-in-progress manuscripts, if available.
- Publications must be numbered and stapled.
- **Note:** A copy of the bibliography must be placed in the box or envelope (check off the items submitted).

### **Opus**

Initiate the action and track the case by entering the appropriate dates in Opus as the case progresses. Current actions must be entered in Opus and submitted to the Dean's Office queue before the hard copies of the dossier are delivered to the Dean's Office.

### **Routing and Approval**

The Luskin analyst will inspect the case then forward it the Dean for review and statement. The dossier will then be sent to APO for CAP review and recommendation. When the necessary approval(s) have been obtained, the Luskin analyst will follow internal protocol and notify the department.

### **Reappointment Letter Associated with Advancement**

If an existing renewal form was approved, the current %, and end date remains in effect (no new renewal form is needed, instead the existing renewal form is honored).

**Please note:** In lieu of a reappointment letter, an updated renewal form may be submitted reflecting the approved step and salary.

After receiving the approved cover page and/or email, send a PDF copy of the Chair's advancement letter addressed to the candidate to the Luskin Analyst. (Label the file by candidate's last name, first initial, - adv letter - fiscal year. For example, "Bruin, J. – Adv Letter - 15-16")

- Letter must include the following:
  - title of the position
  - salary rate or indicate WOS
  - name of the department in which the appointment is located
  - beginning and ending dates of the appointment
  - percentage of time
  - general responsibilities
  - name of the individual to whom the academic appointee reports
  - "This appointment is for a specific term, with an ending date as herein set forth, and is not for a longer period unless express written notification is so given to the appointee. In the absence of such notification, the appointment *ipso facto* terminates on the designated ending date."
- This letter may include the candidate's signature