

CAP'S TOP TEN TIPS FOR FACULTY PREPARING PERSONNEL FILES

1. **Personal Statement:** Personal statements guide reviewers in understanding your accomplishments within the review period and your plans for the future by identifying key themes and highlighting current impact. Statements should be short and easy to understand. CAP strongly recommends six pages or fewer. The length of a personal statement does not correspond to the level of productivity or impact of the candidate's work. Use layperson's language to ensure that your statement is easy to understand not only to your departmental colleagues, but also to your dean, CAP members across disciplines, and the CP/EVC or Chancellor. Areas for discussion for Ladder Rank Faculty include (a) Research and Creative Activity, (b) Teaching and Mentoring, (c) Service, and (d) Contributions to Diversity, Equity, and Inclusion (DEI). For Teaching Professors: (a) Teaching Excellence, (b) Professional and/or Scholarly Achievement and Activity, (c) Service, and (d) Contributions to Diversity, Equity, and Inclusion. Please provide a summary paragraph describing your accomplishments in each of these areas. You might wish to explain whether and how these areas intersect or overlap in your work, as is often the case, for example, for Teaching Professors with regard to teaching and scholarly activity. Also, [new campus guidelines on community-engaged scholarship](#)¹ provide guidance about how to highlight the ways this work may cross boundaries. Further information about what should be included in each section appears below.

2. **Research/Scholarly Activity:** Contextualize your research, professional activity, and/or creative contributions (e.g., briefly describe the scope, selectivity, reputation, and impact of publication or performance venue, with citation information if available). Explain your work in ways that help reviewers assess your contributions and impact on your field. If you received an award, give a brief description of it and its significance for reviewers who may not recognize either the name or stature of the award.

3. **New vs. Resubmitted Work:** Work submitted for one review generally should not be submitted for subsequent reviews; work is "counted" in the review period when it is first submitted. The exception is that work in previous review periods is considered again at the career review points: mid-career, tenure, promotion to full Professor, advancement to Professor VI, and advancement to Professor Above Scale. Therefore, submit publications in the review file when they will have the most impact. If you re-submit a work, you should include information in your personal statement that addresses why reviewers should consider it again. For example, a draft chapter of a book written over several review periods may have been submitted in an earlier review to provide evidence of progress. Be explicit and accurate in your accounting of the status of each item included in this review (revise and resubmit, accepted for publication, in-press, etc.), as well as indicating any items that have undergone changes of status since the previous review. Please refer

¹ https://apo.ucsc.edu/news-events/campus_memos/08-11-23-cap-cpevc-community-engaged-scholarship.html

to the [campus guidelines for your cumulative bio-bibliography²](#), which provide information on the annotations to use to identify the status of “New” versus “Revised” work.

4. ***Co-authorship Statement:*** Co-authorship statements, submitted as a separate document under the dossier tab, are important to help reviewers assess your own contributions to items submitted for review. Specify your contribution by percentage or by content assessment (e.g., “I designed the instrumentation...” or “I conceptualized the study and wrote the first draft...”). It is not sufficiently informative simply to state “equal” for all co-authorships. In the case of multiple co-authored articles, it is helpful for CAP and other reviewers to know the protocol of first author, corresponding author, etc. in your field. Please identify student co-authors.

5. ***External Funding:*** If you received external funding during the review period, list agencies, amounts, and award dates in your bio-bibliography, and whether you acted as a PI or co-PI for the application. It is also helpful to contextualize the funding; for example, is this a large award for your discipline? If you are listed as co-PI, specify your contribution in your personal statement.

6. ***Teaching and Mentoring:*** Summarize course offerings, new preparations, innovative teaching practices, training grants, co-teaching, and mentoring of undergraduates and/or graduate students, in the context of expectations and needs in your department. Mention any course release received. For Teaching Professors, the teaching section is primary and likely to be highlighted as such in the personal statement. At least two forms of evidence of teaching effectiveness are required in each file for both Teaching Professors and Ladder Rank Faculty. Student Experience of Teaching Surveys (SETS) for the courses taught within the review period must be included in the file but are not required to be one of the two primary sources of evidence. Beginning in fall 2023, personnel review teaching tables are requested summarizing the SET responses for three specific questions (questions 5, 6, and 12). If response rates are below 40% it would be helpful to comment on how that might be addressed in the future. (See [TLC recommendations for best practices in improving SETS response rates³](#).)

Additional forms of evidence of teaching effectiveness may include syllabi and other teaching materials from courses, your teaching self-reflection in your personal statement, your formal participation in Teaching and Learning Center (TLC) programs, or other types of evidence used within your department. Be sure to use your personal statement to address any patterns of persistent criticism in your SETS, or previous department letters with expectations for improvement and how you have responded or plan to implement changes. For mentoring activity, be clear about graduate and undergraduate students you currently supervise and those who completed their degrees during the review period, specify their degree/title, and explain your supervisory role in mentoring. If known, describe the career trajectories of those you mentored.

² <https://apo.ucsc.edu/advancement/academic-advancement/biobib-guidelines.html>

³ <https://tlc.ucsc.edu/resources/demonstrating-teaching-effectiveness/student-feedback-sets/>

7. **Service:** Describe your major service contributions to the department, campus, UC system, and profession, as well as any public service you performed, indicating which were particularly time-consuming, challenging, and/or significant. Evaluate rather than simply list your service; describe briefly your responsibilities. Expectations for service change as faculty move through the ranks. See [2021-22 CAP Annual Report, Section IIA on Service Expectations](#)⁴ (pp. 6-8). Keep in mind with confidential service work that confidentiality should be maintained. For example, report that you worked on one ad hoc committee, but do not identify the person reviewed.

8. **Diversity, Equity, and Inclusion (DEI):** Contributions to diversity are valued on our campus and considered in personnel reviews according to [APM 210-1-d](#)⁵, which states in part: “Contributions in all areas of faculty achievement that promote equal opportunity and diversity should be given due recognition in the academic personnel process, and they should be evaluated and credited in the same way as other faculty achievements.” There are many ways of contributing to DEI, including through research and/or scholarly/creative activity, teaching or mentoring, and service, or an overlapping combination of these areas. For example, some faculty engage in research and/or scholarly activity that addresses issues of inequality or equal opportunity. This work should be identified as addressing DEI goals. Working with students from under-represented backgrounds is expected in all disciplines on our campus and doesn't need special mention; however, faculty should describe particular commitments to mentoring, recruiting, and/or outreach to students who are under-represented in their discipline or field, or particular efforts to design courses to be inclusive of students from diverse backgrounds.

For information about evaluating contributions to diversity, see the following Academic Personnel Office (APO) link:

<https://apo.ucsc.edu/diversity.html>

For a listing of ways to engage in diversity on campus, see:

http://diversity.ucsc.edu/resources/images/engaging_in_diversity.pdf

9. **Major Action Reviews (Mid-career Appraisal, Promotion to Associate or Full Professor, Merit to Step VI, or to Above Scale):** The review period for major actions includes the entire period since the last major action, and in addition, particular attention is paid to the review period since the last review (which includes material that has not yet been considered for merit review). For example, for promotion to Professor, the review period is since advancement to Associate Professor, including the year of that review. The actual materials you submit include all research,

⁴ https://senate.ucsc.edu/committees/cap-committee-on-academic-personnel/cap-annual-reports-folder/cap-annualreport-2021-22_scp20311.pdf

⁵ Appointment and Promotion: APM -210: Review and Appraisal Committees, https://www.ucop.edu/academic-personnel-programs/_files/apm/apm-210.pdf

teaching (teaching tables for the full period, but SETS from the most recent, shorter period), and service contributions since the last major action, accompanied by clarification about which of these occurred since the last review. If you are uncertain about what to submit for a major action review, consult with your department chair or manager, or your [divisional academic personnel coordinator](#).⁶

10. Career Equity Review: When a Senate faculty member believes they are at a rank and/or step that is seriously inconsistent with their accomplishments in their discipline, they may request a Career Equity Review (CER). The CER examines a faculty member's career, focusing on the period from UCSC appointment onward, in order to determine whether the cumulative outcomes of personnel actions have resulted in the appropriate rank and/or step. Tenured Ladder Rank Faculty members and Teaching Professors with security of employment may request a CER only when either on the CALL for, or requesting to be reviewed for, one of the following three major personnel actions: promotion to full rank, advancement to Step VI, or advancement to Above Scale. The decision to request a CER rests with the candidate. A recent revision of the CER policy, issued 9-22-2023, clarifies the period of review: <https://apo.ucsc.edu/policy/capm/412.000.html>.

NOTE: It is useful to read the feedback in letters added to the file by further review levels after it leaves the department. These documents are available to faculty on DivData once the process is complete. They may include a dean recommendation, the CAP recommendation, a final decision letter, and an ad hoc report, if applicable. These letters are returned to your department chair, although any confidential letters added by faculty are not returned to their department. All of these documents are provided automatically for reviews done in DivData since 2015. For older reviews, see the form located on the APO website:

<http://apo.ucsc.edu/docs/access-request-form.html>

Other Useful Links:

The Academic Personnel Office Website: <http://apo.ucsc.edu/>

The Academic Senate Committee on Academic Personnel (CAP) Webpage:

<http://senate.ucsc.edu/committees/cap-committee-on-academic-personnel/index.html>

⁶ <https://apo.ucsc.edu/about/contacts/div-contacts/index.html>