

**UC SAN DIEGO-ACADEMIC PERSONNEL SERVICES
WORKSHEET FOR DEPARTMENTAL USE IN PREPARING ACADEMIC REVIEW FILES**

Note-this worksheet is not to be used with the Short Form Merit Review Process. See Short Form Merit Process Instructions.

The following worksheet is recommended for use in preparing reappointment, merit, promotion, and appraisal files. Since campus reviewers require the information requested below to be in the file before making a recommendation, department chairs should ensure that it is all included when the file is submitted. *If a required item cannot be included, this should be explicitly stated in the departmental recommendation letter.* Coverage of these points should be complete,

ITEMS REQUIRED FOR THE ACADEMIC REVIEW FILE

Items are listed in the order of appearance from beginning to end

1. **UCSD Academic Recommendation Summary Form (GC/HS/SIO)**

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| <input type="checkbox"/> | Ensure Action Proposed matches the Departmental Recommendation Letter and the Academic Biography/Bibliography packet. |
| <input type="checkbox"/> | "Present Status" and "Proposed Status" <ul style="list-style-type: none"> • Highest degree • Proposed title, rank, step, salary, effective date |
| <input type="checkbox"/> | Department vote results included and properly documented. |
| <input type="checkbox"/> | If relevant and applicable, calculate the numbers of service years that would be applied toward an eight-year limit propose title |

2. **UC Academic Employment History (Required if Candidate has Prior UC Academic Employment History at UCSD or Any UC Campus)**

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| <input type="checkbox"/> | Appointment history listed and includes the following: <ul style="list-style-type: none"> • Appointment Period (Dates) • Title and Step • Percent Time • Department <i>-Include periods of leave</i> |
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3. **Off-Scale Salary Calculation Slip (If Applicable)**

4. **Departmental Recommendation Letter & Points of Discussion**

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| <input type="checkbox"/> | Proposed status for which approvals are being requested to include: <ul style="list-style-type: none"> • Title, Rank, & Step • Salary • Effective Date |
| <input type="checkbox"/> | Provide thorough justification when recommending award of a bonus off-scale salary <ul style="list-style-type: none"> • Internationally recognized and acclaimed research • Discussion of candidate's standing in his/her field to include international reputation • Excellent teaching performance and service • Demonstration of additional merit and distinction |

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| <input type="checkbox"/> | Include departmental standards for normal advancement |
| <input type="checkbox"/> | Note conflicts of interest in the file <ul style="list-style-type: none"> • Ensure the file writer has not collaborated with the candidate in the past 5 years |
| <input type="checkbox"/> | Department consultation and vote results <ul style="list-style-type: none"> • Include an explanation for negative votes, abstentions, and absences • Verify the vote complies with policy <ul style="list-style-type: none"> ○ PPM 230-28 and Academic Senate Bylaw 55 |

5. **Department Standards for Advancement or Promotion (Include in Dept. Letter)**

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| <input type="checkbox"/> | Evaluate the candidate's qualifications and effectiveness in the areas of research & creative activity, teaching activities, and University and public service <ul style="list-style-type: none"> • Research & Creative Activities <ul style="list-style-type: none"> ○ Describe and evaluate the research and other creative activity conducted during candidate's career and its impact his/her respective field ○ Indicate journal and conference proceeding standings <ul style="list-style-type: none"> ▪ Indicate whether journals are refereed and their rate of acceptance/rejection ○ Discuss candidate's success in obtaining funding for research and other creative activities <ul style="list-style-type: none"> ▪ Indicate the candidate's grant-related roles • Teaching Activities <ul style="list-style-type: none"> ○ Discuss teaching effectiveness ○ Discuss any problems in the area of teaching, and specify performance improvement plans ○ Compare candidate's teaching load to normal departmental teaching load • Service <ul style="list-style-type: none"> ○ Describe candidate's professional achievements ○ Describe the nature and quality of the candidate's service contributions |
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6. **Department Chair Independent Letter (If Available)**

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| <input type="checkbox"/> | The chair, in a separate letter, may make an independent evaluation and recommendation which may differ from the departmental recommendation |
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7. **Dissenting Letters (If Available)**

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| <input type="checkbox"/> | Faculty may add dissenting letters into the file. <ul style="list-style-type: none"> • <i>Dissenting letters are considered non-confidential and will be available to the candidate</i> |
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8. **Proof of Outside Offer(s)**

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| <input type="checkbox"/> | This is required for retention files <i>-If the outside offer is from a foreign institution, be sure to provide a salary conversion analysis and a certified translation if the offer is in a foreign language. Both the original and the translated copy must be included in the file.</i> |
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9. **Certifications**

a. **Certification A (If Candidate is a Current UC Academic Employee)**

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| <input type="checkbox"/> | Signed and dated by the candidate AFTER he/she reviews redacted department ad hoc/division and external referee letters |
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b. **Certification B (If Candidate is a Current UC Academic Employee)**

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| <input type="checkbox"/> | Signed and dated by the candidate AFTER he/she reviews the Department Recommendation Letter |
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c. **Certification C (If Applicable)**

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| <input type="checkbox"/> | Included each time material is added to the file after the departmental recommendation is rendered, to demonstrate the candidate has seen it |
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10. **Ad Hoc Committee Report (If Applicable)**

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| <input type="checkbox"/> | Signed by all committee members <ul style="list-style-type: none"> • If an Ad Hoc Committee advises the department, a signed copy of its report, with full membership indicated at the end of the report must be included in the file |
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11. **Candidate's Self Evaluation/Personal Statement (Optional)**

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| <input type="checkbox"/> | If the appointee provides a personal statement (which is optional) regarding his or her achievements and future plans, this document should be so titled, and it must be signed and dated. Appointees may wish to provide such statements in part to ensure that special efforts, such as development of a new class, or unusual service contributions, are fully recognized and credited. |
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12. **Solicitation Letter to External Candidates**

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| <input type="checkbox"/> | Verify solicitation letter included confidentiality disclosure statement <ul style="list-style-type: none"> • Include a list of referees to whom each solicitation was sent or an indication that the same letter was sent to all referees |
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13. **Referee I.D. List**

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| <input type="checkbox"/> | The confidential information on this form should not appear in the departmental ad hoc report or the departmental recommendation letter <ul style="list-style-type: none"> ○ Referees should be referred to only by code on these documents |
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14. **External Referee Letters**

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| <input type="checkbox"/> | <ul style="list-style-type: none"> • Are the required numbers of letters included? • Are the letters independent? <ul style="list-style-type: none"> ○ Avoid the use of external referees whom the reviewers may not regard as objective evaluators either because they are too close to the candidate professionally or because they have a personal relationship with the candidate |
| EXTERNAL REFEREE LETTER REQUIREMENTS | |
| <ul style="list-style-type: none"> • Assistant Rank Appointees • Lecturer with Potential Security of Employment | 3 External Referee Letters <i>Letters must be independent for Step III and above</i> |
| <ul style="list-style-type: none"> • Associate or Full Rank Appointees • Senior Lecturer with Potential Security of Employment | 5 External Referee Letters |

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| <ul style="list-style-type: none"> • Lecturer with Security of Employment • Senior Lecturer with Security of Employments | <i>Letters must in independent</i> |
| <ul style="list-style-type: none"> • Academic Administrators • Academic Coordinators | 3 External Referee Letters |
| <ul style="list-style-type: none"> • Temporary Appointments | 1 External Referee Letter |

15. **Unsolicited Letters of Evaluation (If Applicable)**

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| <input type="checkbox"/> | <p>Unsolicited letters of evaluation that are added to the file by the appointee are not considered confidential.</p> <p>Unsolicited letters received by the department (and not added to the file by the appointee) may be included in the file at the department chair's discretion and are considered confidential. Before including an unsolicited letter in the review file, the department chair must send the University's confidentiality statement to the letter writer and obtain a signed or electronic authorization to use the unsolicited letter in the file. The authorization, the unsolicited letter, and the department chair's letter transmitting the confidentiality statement should be included in the file.</p> |
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16. **Course Load and Student Direction Form**

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| <input type="checkbox"/> | <ul style="list-style-type: none"> • General Campus and Scripps Institution of Oceanography <ol style="list-style-type: none"> a. This information is available in electronic format from the Institutional Research Office. <p>The appointee is responsible for reviewing and ensuring the accuracy of the teaching record since the previous advancement. Contact hours per course per quarter are the hours actually spent by the faculty member on classroom instructional duties.</p> <p>For appointees who hold instructional titles in more than one department, a complete listing of all courses taught in each department should appear on the Course Load form.</p> <p>The appointee should annotate the Course Load form to correct any errors, and the department should report these errors to Institutional Research in University Center 409.</p> • Health Sciences <p>For assistance in completing the Teaching Quantification form, contact the office of the Associate Dean for Academic Affairs in Health Sciences. This form is available on the "Forms and Examples" page of the Academic Personnel Services Web site.</p> |
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17. **Teaching Evaluations Including Student Comments (If Applicable)**

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| <input type="checkbox"/> | <ul style="list-style-type: none"> • Undergraduate (CAPE Evaluations), including student comments • Graduate, including student comments • Memo explaining any missing evaluations |
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18. Other Evidence of Teaching Effectiveness

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| <input type="checkbox"/> | In addition to teaching evaluations, other evidence of teaching effectiveness may include a copy of the syllabus for each course taught, student testimonials, reports resulting from faculty observations of classes, written analyses of course materials, reports on interviews with students who did well in the courses, reporting of the grade distribution along with the CAPE results, and documentation of activities in curriculum development. |
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19. Level of Administrative Responsibility (LAR) From (If Applicable)

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| <input type="checkbox"/> | Used only for Academic Administrators and Academic Coordinators |
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20. Job Description for Academic Administrators and Coordinators (If Applicable)

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| <input type="checkbox"/> | A description of the appointee's position should be submitted for Academic Administrators and Academic Coordinators. Such a description may have been developed when the recruitment was conducted for the position, and this can serve as the basis for the job description included in the review file. The description should include the working title, if any (e.g., Executive Director – International Affairs), and a delineation of the responsibilities and scope of the job. Such job descriptions typically are one the two pages in length. |
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21. UCSD Academic Biography and Bibliography Packet

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| <input type="checkbox"/> | The Academic Biography/Bibliography Form should be completed with proper line placement(s) in the bibliography portion. |
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22. Sabbatical Leave Report (If Applicable)

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| <input type="checkbox"/> | If the appointee has taken a sabbatical leave since the last review, a copy of the sabbatical leave report must be included in the file. It should be placed, unattached, after the Biography and Bibliography form. |
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ITEMS THAT ACCOMPANY A FILE:

A. Publications or Comparable Materials

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| <input type="checkbox"/> | Publications should be numbered to correspond with their entry on the Bibliography <ul style="list-style-type: none">• Verify consistency• All new items in Section A of the Biography and Bibliography form should be submitted and the corresponding citation on the Bibliography marked with an asterisk• All significant career publications should be submitted and the corresponding citation of the Biography and Bibliography form marked with an asterisk• If publications are submitted by way of an online hyperlink verify the links are functional |
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B. Raw Teaching Data (If Applicable)

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| <input type="checkbox"/> | In general, reviewers prefer that teaching data (from student evaluations) be summarized in the review file. Occasionally, however, a department may wish to include raw teaching data (e.g., all student evaluation forms for a particular course) in addition to a summary in order to clarify the teaching record. Such data should accompany the file in a separate, clearly labeled folder. |
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