UC San Diego-Academic Personnel Services

File Preparation Checklists

1. Advancement to Above Scale

2. Accelerated Advancement

3. Appraisal

4. Award of Bonus Off-scale Component

5. Career Equity Review

6. Deferral

7. No Change

8. Normal Merit

9. Promotion to Associate Rank

10. Promotion to Full Rank

11. Retention

12. Merit Advancement to/through Step VI

UC SAN DIEGO-ACADEMIC PERSONNEL SERIVCE

1. FILE PREPARATION CHECKLIST: ADVANCEMENT TO ABOVE SCALE

*NOTE-DOCUMENTS ARE LISTED IN ORDER OF INCLUSION FROM BEGINNING TO END

1. ☐ **Recommendation Summary Form**

☐	Advancement "Above Scale" checked
	   • Specify if Advancement is "Normal" or "Accelerated"
	   • If Advancement is "Accelerated" specify number of acceleration years

☐	"Present Status" and "Proposed Status" complete and consistent with department letter
☐	Department vote results included and properly documented
☐	Proper Department Chair signature approvals verified and documented

2. ☐ **UC Academic Employment History**

☐	Appointment history listed and includes the following:
	   • Appointment Period (Dates)
	   • Title and Step
	   • Percent Time
	   • Department

☐	Leave and Sabbatical history listed and includes the following:
	   • Periods without pay during the review period including dates
	   • Complete sabbatical and leave history should be listed for candidate's career

☐	Accelerated merit advancements should be annotated with an asterisk

3. ☐ **Above Scale Salary Calculation Slip (OPTIONAL)**

4. ☐ **Department Recommendation Letter & Points of Discussion**

☐	Proposed status for which approvals are being requested to include:
	   • Title, Rank, & Step
	   • Salary
	   • Effective Date

☐	Proposals for above scale advancement require evidence of the following be included and discussed:
	   • 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 beyond the performance on which advancement to Step IV was based

☐	Disposition of any existing off-scale salary components and provide justification for any exceptions to policy

☐	Department consultation and vote results
	   • Include an explanation for negative votes, abstentions, and absences.
	   • Verify the vote complies with policy
	       o PPM 230-28 and Academic Senate Bylaw 55

☐	Note conflicts of interest in the file. • Ensure the file writer has not collaborated with the candidate in the past 5 years.
☐	Referee letters: • Use letter codes, from the Referee ID List, when referring to external referees, e.g., "Referee A stated…" • ***DO NOT IDENTIFY EXTERNAL REFEREES BY NAME***
☐	Department standards for advancement to Above Scale.

☐	Evaluate the candidate's qualifications and effectiveness in the following areas:
	 • Research & Creative Activities
	     o Describe and evaluate the research and other creative activity conducted during candidate's career and its impact his/her respective field
	     o Indicate journal and conference proceeding standings
	        ▪ Indicate whether journals are refereed and their rate of acceptance/rejection
	     o Discuss candidate's success in obtaining funding for research and other creative activities
	        ▪ Indicate the candidate's grant-related roles
	 • Teaching Activities
	     o Discuss teaching effectiveness
	     o Discuss any problems in the area of teaching and specify performance improvement plans
	     o Compare candidate's teaching load to normal departmental teaching load
	 • Service
	     o Describe candidate's professional achievements
	     o Describe the nature and quality of the candidate's service contributions

5. ☐ **Certification B**

☐	Signed and dated by the employee ***AFTER*** he/she reviews the Department Recommendation Letter

6. ☐ **Certification A**

☐	Signed and dated by the employee ***AFTER*** he/she reviews redacted department ad-hoc/division and external referee letters

7. ☐ **Departmental Ad Hoc Report (WHERE APPLICABLE)**

☐	Signed by all committee members

8. ☐ **Candidate's Self Evaluation (OPTIONAL)**

9. ☐ **Copy of Solicitation Letter to External Candidates**

☐	Verify solicitation letter included confidentiality disclosure statement
	• Include a list of referees to whom each solicitation was sent or an indication that the same letter was sent to all referees

10. ☐ **Referee I.D. List**

11. ☐ **External Referee Letters**

☐	3 External Letters (**MINIMUM**)
	• Verify external referees are independent
	• Verify the majority of external referees were selected by the department
	• Code letters in correspondence with the Referee I.D. List (e.g. the letter from Referee A on the list should have the corresponding letter "A" in the upper right hand corner of **ALL** pages)

12. ☐ **Course load & Student Direction form (General Campus) or Teaching Quantification Form (Health Sciences) signed by the candidate**

13. ☐ **Teaching Evaluations**

☐	• Undergraduate (CAPE Evaluations), including student comments
	• Graduate, including student comments
	• Memo explaining any missing evaluations

14. ☐ **Copies of Publications**

☐	Publications should be numbered to correspond with their entry on the Bibliography
	• 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

15. ☐ **Academic Biography and Bibliography Packet**

☐	• Updated to reflect new work completed during the review period
	• Do not include work completed after October 15th
	• Verify "Line" placement is correct
	• Signed and dated by the employee/candidate

16. ☐ **Sabbatical Leave Reports (IF APPLICABLE)**

UC SAN DIEGO-ACADEMIC PERSONNEL SERIVCE
2. FILE PREPARATION CHECKLIST: ACCELERATED ADVANCEMENT

*NOTE-DOCUMENTS ARE LISTED IN ORDER OF INCLUSION FROM BEGINNING TO END

*NOTE-IF ACCELERATED ADVANCEMENT IS CONCURRENT WITH PROMOTION OR CAREER REVIEW, PLEASE SEE CORRESPONDING CHECKLIST FOR CONCURRENT ACTIONS

1. ☐ **Recommendation Summary Form**

☐	Verify the following: • "Merit" checked • "Acceleration" checked ○ Specify number of acceleration years
☐	"Present Status" and "Proposed Status" complete and consistent with department letter
☐	Department vote results included and properly documented
☐	Proper Department Chair signature approvals verified and documented

2. ☐ **UC Academic Employment History**

☐	Appointment history listed and includes the following: • Appointment Period (Dates) • Title and Step • Percent Time • Department
☐	Leave and Sabbatical history listed and includes the following: • Periods without pay during the review period including dates • Complete sabbatical and leave history should be listed for candidate's career
☐	Accelerated merit advancements should be annotated with an asterisk

3. ☐ **Off-Scale Salary Slip (OPTIONAL)**

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

☐	Proposed status for which approvals are being requested to include: • Title, Rank, & Step • Salary • Effective Date
☐	Department standards for normal merit advancement and how candidate exceeded set standards
☐	Provide thorough justification when recommending award of an off-scale salary • 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
☐	Department consultation and vote results • Include an explanation for negative votes, abstentions, and absences. • Verify the vote complies with policy ○ PPM 230-28 and Academic Senate Bylaw 55

☐	Note conflicts of interest in the file. • Ensure the file writer has not collaborated with the candidate in the past 5 years.
☐	Specifically describe the impact on the discipline of the work if that is being used as a justification for acceleration
☐	Indicate whether the requested acceleration is on-cycle or off-cycle • Off-Cycle review files should present a compelling reasons as to why the file should be considered.
☐	Evaluate the candidate's **EXTRAORDINARY** qualifications and effectiveness in the areas of research & creative activity, teaching activities and University and public service • ***Accelerated advancements are not appropriate in cases in which there is a weakness or substandard performance in one <u>or</u> more areas***

☐	Indicate how achievements are above what is expected for normal advancement in the following areas:
	• Research & Creative Activities
	   o Describe and evaluate the research and other creative activity conducted during candidate's career and its impact his/her respective field
	   o Indicate journal and conference proceeding standings
	      ▪ Indicate whether journals are refereed and their rate of acceptance/rejection
	   o Discuss candidate's success in obtaining funding for research and other creative activities
	      ▪ Indicate the candidate's grant-related roles
	• Teaching Activities
	   o Discuss teaching effectiveness
	   o Discuss any problems in the area of teaching, and specify performance improvement plans
	   o Compare candidate's teaching load to normal departmental teaching load
	• Service
	   o Describe candidate's professional achievements
	   o Describe the nature and quality of the candidate's service contributions

☐	• Referee letters (If Required)
	   o Use letter codes, from the Referee ID List, when referring to external referees, e.g., "Referee A stated…"
	      ▪ ***DO NOT IDENTIFY EXTERNAL REFEREES BY NAME***

5. ☐ **Certification B**

☐	Signed and dated by the employee *AFTER* he/she reviews the Department Recommendation Letter

6. ☐ **Certification A**

☐	Signed and dated by the employee *AFTER* he/she reviews redacted department ad hoc/division and external referee letters

7. ☐ **Departmental Ad Hoc Report (WHERE APPLICABLE)**

☐	Signed by all committee members

8. ☐ **Candidate's Self Evaluation (OPTIONAL)**

9. ☐ **Copy of Solicitation Letter to External Candidates**

☐	Verify solicitation letter included confidentiality disclosure statement
	• Include a list of referees to whom each solicitation was sent or an indication that the same letter was sent to all referees

10. ☐ **Referee I.D. List**

11. ☐ **External Letters**

☐	Optional unless promotion to Associate, Full, or Advancement to Above Scale
☐	• Verify external referees are independent
	• Verify the majority of external referees were selected by the department
	• Code letters in correspondence with the Referee I.D. List (e.g. the letter from Referee A on the list should have the corresponding letter "A" in the upper right hand corner of **ALL** pages)

12. ☐ **Course load & Student Direction form (General Campus) or Teaching Quantification Form (Health Sciences) signed by the candidate**

13. ☐ **Teaching Evaluations**

☐	• Undergraduate (CAPE Evaluations), including student comments
	• Graduate, including student comments
	• Memo explaining any missing evaluations

14. ☐ **Copies of Publications**

☐	Publications should be numbered to correspond with their entry on the Bibliography
	• Verify consistency-numbered to correspond with Bibliography entry
	• All new items in Section A of the bibliography should be submitted and the corresponding citation on the Bibliography marked with an asterisk
	• If career review, all significant career pubs should be submitted and the corresponding citation on the Bibliography marked with an asterisk
	• If publications are submitted by way of an online hyperlink verify the links are functional

15. ☐ **Academic Biography and Bibliography Packet**

☐	• Updated to reflect new work completed during the review period
	• Do not include work completed after October 15th
	• Verify "Line" placement is correct
	• Signed and dated by the employee/candidate

16. ☐ **Sabbatical Leave Reports (IF APPLICABLE)**

UC SAN DIEGO-ACADEMIC PERSONNEL SERIVCE

3. FILE PREPARATION CHECKLIST: APPRAISAL

*NOTE-DOCUMENTS ARE LISTED IN ORDER OF INCLUSION FROM BEGINNING TO END

1. ☐ **Recommendation Summary Form**

☐	Verify the following: • "Appraisal" checked
☐	"Present Status" and "Proposed Status" complete and consistent with department letter
☐	Department vote results included and properly documented
☐	Proper Department Chair signature approvals verified and documented

2. ☐ **UC Academic Employment History**

☐	Appointment history listed and includes the following: • Appointment Period (Dates) • Title and Step • Percent Time • Department
☐	Leave and Sabbatical history listed and includes the following: • Periods without pay during the review period including dates • Complete sabbatical and leave history should be listed for candidate's career
☐	Accelerated merit advancements should be annotated with an asterisk

3. ☐ **Off-Scale Salary Slip (OPTIONAL)**

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

☐	Proposed status for which approvals are being requested to include: • Complete sabbatical and leave history should be listed for candidate's career • Title, Rank, & Step • Salary • Effective Date
☐	Department standards for normal merit advancement and how candidate meet the established standards
☐	Provide thorough justification when recommending award of a off-scale salary • 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
☐	Note conflicts of interest in the file. • Ensure the file writer has not collaborated with the candidate in the past 5 years.

☐	Evaluate the candidate's qualifications and effectiveness in the areas of research & creative activity, teaching activities, and University and public service • Research & Creative Activities 　o Describe and evaluate the research and other creative activity conducted during candidate's career and its impact his/her respective field 　o Indicate journal and conference proceeding standings 　　▪ Indicate whether journals are refereed and their rate of acceptance/rejection 　o Discuss candidate's success in obtaining funding for research and other creative activities 　　▪ Indicate the candidate's grant-related roles • Teaching Activities 　o Discuss teaching effectiveness 　o Discuss any problems in the area of teaching, and specify performance improvement plans 　o Compare candidate's teaching load to normal departmental teaching loads • Service 　o Describe candidate's professional achievements
☐	Department consultation and vote results • Include an explanation for negative votes, abstentions, and absences. • Verify the vote complies with policy • PPM 230-28 and Academic Senate Bylaw 55

5.　☐ **Certification B**

☐	Signed and dated by the employee *AFTER* he/she reviews the Department Recommendation Letter

6.　☐ **Certification A**

☐	Signed and dated by the employee *AFTER* he/she reviews redacted department ad hoc/division and external referee letters

7.　☐ **Departmental Ad Hoc Report (WHERE APPLICABLE)**

☐	Signed by all committee members

8.　☐ **Candidate's Self Evaluation (OPTIONAL)**

9.　☐ **Copy of Solicitation Letter to External Candidates**

☐	Verify solicitation letter included confidentiality disclosure statement • Include a list of referees to whom each solicitation was sent or an indication that the same letter was sent to all referees

10. ☐ **Referee I.D. List**

11. ☐ **External Letters**

☐	Optional unless promotion to Associate, Full, or Advancement to Above Scale
☐	• Verify external referees are independent • Verify the majority of external referees were selected by the department • Code letters in correspondence with the Referee I.D. List (e.g. the letter from Referee A on the list should have the corresponding letter "A" in the upper right hand corner of **ALL** pages)

12. ☐ **Course load & Student Direction form (General Campus) or Teaching Quantification Form (Health Sciences) signed by the candidate**

13. ☐ **Teaching Evaluations**

☐	• Undergraduate (CAPE Evaluations), including student comments • Graduate, including student comments • Memo explaining any missing evaluations

14. ☐ **Copies of Publications**

☐	Publications should be numbered to correspond with their entry on the Bibliography
	• Verify consistency-numbered to correspond with Bibliography entry • All new items in Section A of the bibliography should be submitted and the corresponding citation on the Bibliography marked with an asterisk • If career review, all significant career pubs should be submitted and the corresponding citation on the Bibliography marked with an asterisk • If publications are submitted by way of an online hyperlink verify the links are functional

15. ☐ **Academic Biography and Bibliography Packet**

☐	• Updated to reflect new work completed during the review period • Do not include work completed after October 15th • Verify "Line" placement is correct • Signed and dated by the employee/candidate

16. ☐ **Sabbatical Leave Reports (IF APPLICABLE)**

*NOTE-DOCUMENTS ARE LISTED IN ORDER OF INCLUSION FROM BEGINNING TO END

1. ☐ **Recommendation Summary Form**

☐	Verify the following:
	• "New Bonus Off-Scale" checked under Off-Scale Salary Actions
☐	"Present Status" and "Proposed Status" complete and consistent with department letter
☐	Department vote results included and properly documented
☐	Proper Department Chair signature approvals verified and documented

2. ☐ **UC Academic Employment History**

☐	Appointment history listed and includes the following:
	• Appointment Period (Dates)
	• Title and Step
	• Percent Time
	• Department
☐	Leave and Sabbatical history listed and includes the following:
	• Periods without pay during the review period including dates
	• Complete sabbatical and leave history should be listed for candidate's career
☐	Accelerated merit advancements should be annotated with an asterisk

3. ☐ **Off-Scale Salary Slip (OPTIONAL)**

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

☐	Proposed status for which approvals are being requested to include:
	• Title, Rank, & Step
	• Salary
	• Effective Date
☐	Provide department standards for normal merit advancement
☐	Bonus Off-Scale Component
	• Reward extraordinary achievements in **one** or **two** of the criteria areas, i.e., research, teaching, and/or service
	• Verify bonus off-scale amount and calculations
	○ Should equal to one half salary step
	• Provide thorough justification when recommending award of, or policy exceptions for, a bonus off-scale salary
☐	Note conflicts of interest in the file.
	• Ensure the file writer has not collaborated with the candidate in the past 5 years.

☐	Evaluate the candidate's qualifications and effectiveness in the areas of research & creative activity, teaching activities, and University and public service • Research & Creative Activities o Describe and evaluate the research and other creative activity conducted during candidate's career and its impact his/her respective field o Indicate journal and conference proceeding standings ▪ Indicate whether journals are refereed and their rate of acceptance/rejection o Discuss candidate's success in obtaining funding for research and other creative activities ▪ Indicate the candidate's grant-related roles • Teaching Activities o Discuss teaching effectiveness o Discuss any problems in the area of teaching, and specify performance improvement plans o Compare candidate's teaching load to normal departmental teaching load • Service o Describe candidate's professional achievements o Describe the nature and quality of the candidate's service contributions
☐	Department consultation and vote results • Include an explanation for negative votes, abstentions, and absences. • Verify the vote complies with policy o PPM 230-28 and Academic Senate Bylaw 55

5. ☐ **Certification B**

☐	Signed and dated by the employee *AFTER* he/she reviews the Department Recommendation Letter

6. ☐ **Certification A**

☐	Signed and dated by the employee *AFTER* he/she reviews redacted department ad hoc/division and external referee letters

7. ☐ **Departmental Ad Hoc Report (WHERE APPLICABLE)**

☐	Signed by all committee members

8. ☐ **Candidate's Self Evaluation (OPTIONAL)**

9. ☐ **Course load & Student Direction form (General Campus) or Teaching Quantification Form (Health Sciences) signed by the candidate**

10. ☐ **Teaching Evaluations**

☐	• Undergraduate (CAPE Evaluations), including student comments
	• Graduate, including student comments
	• Memo explaining any missing evaluations

11. ☐ **Copies of Publications**

☐	Publications should be numbered to correspond with their entry on the Bibliography
	• Verify consistency-numbered to correspond with Bibliography entry
	• All new items in Section A of the bibliography should be submitted and the corresponding citation on the Bibliography marked with an asterisk
	• If career review, all significant career pubs should be submitted and the corresponding citation on the Bibliography marked with an asterisk
	• If publications are submitted by way of an online hyperlink verify the links are functional

12. ☐ **Academic Biography and Bibliography Packet**

☐	• Updated to reflect new work completed during the review period
	• Do not include work completed after October 15th
	• Verify "Line" placement is correct
	• Signed and dated by the employee/candidate

13. ☐ **Sabbatical Leave Reports (IF APPLICABLE)**

UC SAN DIEGO-ACADEMIC PERSONNEL SERIVCE
5. FILE PREPARATION CHECKLIST: CAREER EQUITY REVIEW (CER)

*NOTE-DOCUMENTS ARE LISTED IN ORDER OF INCLUSION FROM BEGINNING TO END

*NOTE-CAREER EQUITY REVIEWS ARE NOT STAND-ALONE REVIEW ACTIONS, AND SHOULD BE ACCOMPANIED WITH AN APPROPRIATE PARALLELE REVIEW FILE

1. ☐ **Recommendation Summary Form**

☐	Verify the following: • Reflects two parallel actions, one of which is a Career Equity Review (CER)
☐	"Present Status" and "Proposed Status" complete and consistent with department letter
☐	Department vote results included and properly documented • Votes should be for two parallel actions, for a regular action and one for a CER
☐	Proper Department Chair signature approvals verified and documented

2. ☐ **Departmental Recommendation Letter & Points of Discussion**

☐	Proposed status for which approvals are being requested to include: • Complete sabbatical and leave history should be listed for candidate's career • Title, Rank, & Step • Salary • Effective Date
☐	Career Equity • Must address candidate's overall record using criteria for the rank and step requested • Provide thorough justification when recommending award of a bonus off-scale salary. • Evaluate the candidate's qualifications and effectiveness in the areas of research & creative activity, teaching activities and University and public service • Discussion of faculty vote on regular action and CER action (two votes required)

3. ☐ **Candidate's Request for Career Equity Review**

☐	Requested rank and step
	• Justification for CER: 3 Possible Reasons
	   o Cumulative record warrants acceleration even though no one particular review period did
	   o Rank and step at time of initial appointment was inappropriately low
	   o Particular work and contributions have been overlooked or undervalued by the department and/or other reviewing bodies

4. ☐ **Copy of Solicitation Letter to External Candidates**

☐	Verify solicitation letter included confidentiality disclosure statement • Include a list of referees to whom each solicitation was sent or an indication that the same letter was sent to all referees

5. ☐ **Referee I.D. List**

> ☐ Verify solicitation letter included confidentiality disclosure statement
> - Include a list of referees to whom each solicitation was sent or an indication that the same letter was sent to all referees

6. ☐ **External Referee Letters**

> ☐ 3 External Letters (**MINIMUM**)
> - Verify external referees are independent
> - Verify the majority of external referees were selected by the department
> - Code letters in correspondence with the Referee I.D. List (e.g. the letter from Referee A on the list should have the corresponding letter "A" in the upper right hand corner of ALL pages)

7. ☐ **Course load & Student Direction form (General Campus) or Teaching Quantification Form (Health Sciences) signed by the candidate**

8. ☐ **Teaching Evaluations**

> ☐
> - Undergraduate (CAPE Evaluations), including student comments
> - Graduate, including student comments
> - Memo explaining any missing evaluations

9. ☐ **Copies of Publications**

> ☐ Publications should be numbered to correspond with their entry on the Bibliography
> - Verify consistency-numbered to correspond with Bibliography entry
> - All new items in Section A of the bibliography should be submitted and the corresponding citation on the Bibliography marked with an asterisk
> - If career review, all significant career pubs should be submitted and the corresponding citation on the Bibliography marked with an asterisk
> - If publications are submitted by way of an online hyperlink verify the links are functional

10. ☐ **Academic Biography and Bibliography Packet**

> ☐
> - Updated to reflect new work completed during the review period
> - Do not include work completed after October 15th
> - Verify "Line" placement is correct
> - Signed and dated by the employee/candidate

11. ☐ **Sabbatical Leave Reports (IF APPLICABLE)**

6. FILE PREPARATION CHECKLIST: ACADEMIC REVIEW DEFERRAL

*NOTE-DOCUMENTS ARE LISTED IN ORDER OF INCLUSION FROM BEGINNING TO END

1. ☐ **Department Recommendation Letter**

☐	Verify the following:
	• Endorses candidate's request provides justification for deferral
	• Mentions whether request is for first or second deferral

2. ☐ **Candidate Request For Deferral**

☐	Memo detailing reasons for request
	• Work in Progress
	• Leave/Sabbatical
	• Other (Exceptions, Medical, Circumstances beyond Candidate's control, etc.)

UC SAN DIEGO-ACADEMIC PERSONNEL SERIVCE
7. FILE PREPARATION CHECKLIST: NO CHANGE REQUEST
*NOTE-DOCUMENTS ARE LISTED IN ORDER OF INCLUSION FROM BEGINNING TO END

1. ☐ **Recommendation Summary Form**

☐	Verify form is complete and consistent with department letter

2. ☐ **UC Academic Employment History**

☐	Appointment history listed and includes the following: • Appointment Period (Dates) • Title and Step • Percent Time • Department
☐	Leave and Sabbatical history listed and includes the following: • Periods without pay during the review period including dates • Complete sabbatical and leave history should be listed for candidate's career
☐	Accelerated merit advancements should be annotated with an asterisk

3. ☐ **Off-Scale Salary Slip (OPTIONAL)**

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

☐	Proposed status for which approvals are being requested to include: • Complete sabbatical and leave history should be listed for candidate's career • Title, Rank, & Step • Salary • Effective Date
☐	Provide department standard for normal merit advancement
☐	Discuss specific plans for next advancement
	Provide thorough justification when recommending a bonus off-scale salary.
☐	Include a re-engagement plan for candidates where this is their **SECOND OR MORE** consecutive No Change proposal related to "Insufficient Contributions".
☐	Note conflicts of interest in the file. • Ensure the file writer is not a candidate collaborator

☐ Evaluate the candidate's qualifications and effectiveness in the areas of research & creative activity, teaching activities, and University and public service

- Research & Creative Activities
    - o Describe and evaluate the research and other creative activity conducted during candidate's career and its impact his/her respective field
    - o Indicate journal and conference proceeding standings
        - ▪ Indicate whether journals are refereed and their rate of acceptance/rejection
    - o Discuss candidate's success in obtaining funding for research and other creative activities
        - ▪ Indicate the candidate's grant-related roles
- Teaching Activities
    - o Discuss teaching effectiveness
    - o Discuss any problems in the area of teaching, and specify performance improvement plans
    - o Compare candidate's teaching load to normal departmental teaching load
- Service
    - o Describe candidate's professional achievements
    - o Describe the nature and quality of the candidate's service contributions

5. ☐ **Certification B**

☐ Signed and dated by the employee *AFTER* he/she reviews the Department Recommendation Letter

6. ☐ **Certification A**

☐ Signed and dated by the employee *AFTER* he/she reviews redacted department ad hoc/division and external referee letters

7. ☐ **Departmental Ad Hoc Report (WHERE APPLICABLE)**

☐ Signed by all committee members

8. ☐ **Candidate's Self Evaluation (OPTIONAL)**

9. ☐ **Course load & Student Direction form (General Campus) or Teaching Quantification Form (Health Sciences) signed by the candidate**

10. ☐ **Teaching Evaluations**

☐
- Undergraduate (CAPE Evaluations), including student comments
- Graduate, including student comments
- Memo explaining any missing evaluations

7. FILE PREPARATION CHECKLIST: NO CHANGE REQUEST

11. ☐ **Copies of Publications**

☐	Publications should be numbered to correspond with their entry on the Bibliography
	• Verify consistency-numbered to correspond with Bibliography entry
	• All new items in Section A of the bibliography should be submitted and the corresponding citation on the Bibliography marked with an asterisk
	• If career review, all significant career pubs should be submitted and the corresponding citation on the Bibliography marked with an asterisk
	• If publications are submitted by way of an online hyperlink verify the links are functional

12. ☐ **Academic Biography and Bibliography Packet**

☐	• Updated to reflect new work completed during the review period
	• Do not include work completed after October 15th
	• Verify "Line" placement is correct
	• Signed and dated by the employee/candidate

13. ☐ **Sabbatical Leave Reports (IF APPLICABLE)**

UC SAN DIEGO-ACADEMIC PERSONNEL SERIVCE

8. FILE PREPARATION CHECKLIST: NORMAL MERIT

*NOTE-DOCUMENTS ARE LISTED IN ORDER OF INCLUSION FROM BEGINNING TO END

1. ☐ **Recommendation Summary Form**

☐	Verify the following: • "Merit" checked
☐	"Present Status" and "Proposed Status" complete and consistent with department letter
☐	Department vote results included and properly documented
☐	Proper Department Chair signature approvals verified and documented

2. ☐ **UC Academic Employment History**

☐	Appointment history listed and includes the following: • Appointment Period (Dates) • Title and Step • Percent Time • Department
☐	Leave and Sabbatical history listed and includes the following: • Periods without pay during the review period including dates • Complete sabbatical and leave history should be listed for candidate's career
☐	Accelerated merit advancements should be annotated with an asterisk

3. ☐ **Off-Scale Salary Calculation Slip (OPTIONAL)**

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

☐	Proposed status for which approvals are being requested to include: • Title, Rank, & Step • Salary • Effective Date
☐	Provide department standard for normal merit advancement
☐	Provide thorough justification when recommending award of a bonus off-scale salary. • 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
☐	Note conflicts of interest in the file. • Ensure the file writer has not collaborated with the candidate in the past 5 years.
☐	Department consultation and vote results • Include an explanation for negative votes, abstentions, and absences. • Verify the vote complies with policy o PPM 230-28 and Academic Senate Bylaw 55

☐	Evaluate the candidate's qualifications and effectiveness in the areas of research & creative activity, teaching activities, and University and public service.
	 • Research & Creative Activities
	      o Describe and evaluate the research and other creative activity conducted during candidate's career and its impact his/her respective field
	      o Indicate journal and conference proceeding standings
	          ▪ Indicate whether journals are refereed and their rate of acceptance/rejection
	      o Discuss candidate's success in obtaining funding for research and other creative activities
	          ▪ Indicate the candidate's grant-related roles
	 • Teaching Activities
	      o Discuss teaching effectiveness
	      o Discuss any problems in the area of teaching, and specify performance improvement plans
	      o Compare candidate's teaching load to normal departmental teaching load
	 • Service
	      o Describe candidate's professional achievements
	      o Describe the nature and quality of the candidate's service contributions

5. ☐ **Certification B**

☐	Signed and dated by the employee *AFTER* he/she reviews the Department Recommendation Letter

6. ☐ **Certification A**

☐	Signed and dated by the employee *AFTER* he/she reviews redacted department ad hoc/division and external referee letters

7. ☐ **Departmental Ad Hoc Report (WHERE APPLICABLE)**

☐	Signed by all committee members

8. ☐ **Candidate's Self Evaluation (OPTIONAL)**

9. ☐ **Course load & Student Direction form (General Campus) or Teaching Quantification Form (Health Sciences) signed by the candidate**

10. ☐ **Teaching Evaluations**

☐	• Undergraduate (CAPE Evaluations), including student comments • Graduate, including student comments • Memo explaining any missing evaluations

11. ☐ **Copies of Publications**

☐	Publications should be numbered to correspond with their entry on the Bibliography • 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

12. ☐ **Academic Biography and Bibliography Packet**

☐	• Updated to reflect new work completed during the review period • Do not include work completed after October 15th • Verify "Line" placement is correct • Signed and dated by the employee/candidate

13. ☐ **Sabbatical Leave Reports (IF APPLICABLE)**

*NOTE-DOCUMENTS ARE LISTED IN ORDER OF INCLUSION FROM BEGINNING TO END

1. ☐ **Recommendation Summary Form**

☐	Verify the following: • "Promotion" box is checked • Indicate whether it's a Normal or Accelerated Promotion" o If Promotion is "Accelerated" specify number of acceleration years
☐	"Present Status" and "Proposed Status" complete and consistent with department letter
☐	Department vote results included and properly documented
☐	Proper Department Chair signature approvals verified and documented

2. ☐ **UC Academic Employment History**

☐	Appointment history listed and includes the following: • Appointment Period (Dates) • Title and Step • Percent Time • Department
☐	Leave and Sabbatical history listed and includes the following: • Periods without pay during the review period including dates • Complete sabbatical and leave history should be listed for candidate's career
☐	Accelerated merit advancements should be annotated with an asterisk

3. ☐ **Off-Scale Salary Calculation Slip (OPTIONAL)**

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

☐	Proposed action-clarify if an accelerated promotion, or, a promotion with an accelerated merit. • Title, Rank, & Step • Salary • Effective Date
☐	Include department standard for promotion to tenure
☐	Provide thorough justification when recommending award for a bonus off-scale salary.
☐	Department consultation and vote results • Include an explanation for negative votes, abstentions, and absences. • Verify the vote complies with policy o PPM 230-28 and Academic Senate Bylaw 55
☐	Note conflicts of interest in the file. • Ensure the file writer has not collaborated with the candidate in the past 5 years.

☐	Evaluate the candidate's qualifications and effectiveness in the following areas:
	• Research & Creative Activities
	    o Describe and evaluate the research and other creative activity conducted during candidate's career and its impact his/her respective field
	    o Indicate journal and conference proceeding standings
	        ▪ Indicate whether journals are refereed and their rate of acceptance/rejection
	    o Discuss candidate's success in obtaining funding for research and other creative activities
	        ▪ Indicate the candidate's grant-related roles
	• Teaching Activities
	    o Discuss teaching effectiveness
	    o Discuss any problems in the area of teaching, and specify performance improvement plans
	    o Compare candidate's teaching load to normal departmental teaching load
	• Service
	    o Describe candidate's professional achievements
	    o Describe the nature and quality of the candidate's service contributions

5. ☐ **Certification B**

☐	Signed and dated by the employee *AFTER* he/she reviews the Department Recommendation Letter

6. ☐ **Certification A**

☐	Signed and dated by the employee *AFTER* he/she reviews redacted department ad hoc/division and external referee letters

7. ☐ **Departmental Ad Hoc Report (WHERE APPLICABLE)**

☐	Signed by all committee members

8. ☐ **Candidate's Self Evaluation (OPTIONAL)**

9. ☐ **Copy of Solicitation Letter to External Candidates**

☐	Verify solicitation letter included confidentiality disclosure statement • Include a list of referees to whom each solicitation was sent or an indication that the same letter was sent to all referees

10. ☐ **Referee I.D. List**

11. ☐ **External Referee Letters**

☐	5 External Letters (**MINIMUM**)
	• Verify external referees are independent
	• Verify the majority of external referees were selected by the department
	• Code letters in correspondence with the Referee I.D. List (e.g. the letter from Referee A on the list should have the corresponding letter "A" in the upper right hand corner of **ALL** pages)

12. ☐ **Course load & Student Direction form (General Campus) or Teaching Quantification Form (Health Sciences) signed by the candidate**

13. ☐ **Teaching Evaluations**

☐	• Undergraduate (CAPE Evaluations), including student comments
	• Graduate, including student comments
	• Memo explaining any missing evaluations

14. ☐ **Copies of Publications**

☐	Publications should be numbered to correspond with their entry on the Bibliography
	• 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

15. ☐ **Academic Biography and Bibliography Packet**

☐	• Updated to reflect new work completed during the review period
	• Do not include work completed after October 15th
	• Verify "Line" placement is correct
	• Signed and dated by the employee/candidate

16. ☐ **Sabbatical Leave Reports (IF APPLICABLE)**

*NOTE-DOCUMENTS ARE LISTED IN ORDER OF INCLUSION FROM BEGINNING TO END

1. ☐ **Recommendation Summary Form**

☐	Verify the following: • "Promotion" box is checked • Indicate whether it's a Normal or Accelerated Promotion" o If Promotion is "Accelerated" specify number of acceleration years
☐	"Present Status" and "Proposed Status" complete and consistent with department letter
☐	Department vote results included and properly documented
☐	Proper Department Chair signature approvals verified and documented

2. ☐ **UC Academic Employment History**

☐	Appointment history listed and includes the following: • Appointment Period (Dates) • Title and Step • Percent Time • Department
☐	Leave and Sabbatical history listed and includes the following: • Periods without pay during the review period including dates • Complete sabbatical and leave history should be listed for candidate's career
☐	Accelerated merit advancements should be annotated with an asterisk

3. ☐ **Off-Scale Salary Calculation Slip (OPTIONAL)**

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

☐	Proposed action-clarify if an accelerated promotion, or, a promotion with an accelerated merit. • Title, Rank, & Step • Salary • Effective Date
☐	Include department standards for promotion to full rank
☐	Provide thorough justification when recommending award of a bonus off-scale salary.
☐	Department consultation and vote results • Include an explanation for negative votes, abstentions, and absences. • Verify the vote complies with policy o PPM 230-28 and Academic Senate Bylaw 55
☐	Note conflicts of interest in the file. • Ensure the file writer has not collaborated with the candidate in the past 5 years.

☐	Evaluate the candidate's qualifications and effectiveness in the following areas:
	• Research & Creative Activities
	o Describe and evaluate the research and other creative activity conducted during candidate's career and its impact his/her respective field
	o Indicate journal and conference proceeding standings
	▪ Indicate whether journals are refereed and their rate of acceptance/rejection
	o Discuss candidate's success in obtaining funding for research and other creative activities
	▪ Indicate the candidate's grant-related roles
	• Teaching Activities
	o Discuss teaching effectiveness
	o Discuss any problems in the area of teaching, and specify performance improvement plans
	o Compare candidate's teaching load to normal departmental teaching load
	• Service
	o Describe candidate's professional achievements
	o Describe the nature and quality of the candidate's service contributions

5. ☐ **Certification B**

☐	Signed and dated by the employee *AFTER* he/she reviews the Department Recommendation Letter

6. ☐ **Certification A**

☐	Signed and dated by the employee *AFTER* he/she reviews redacted department ad hoc/division and external referee letters

7. ☐ **Departmental Ad Hoc Report (WHERE APPLICABLE)**

☐	Signed by all committee members

8. ☐ **Candidate's Self Evaluation (OPTIONAL)**

9. ☐ **Copy of Solicitation Letter to External Candidates**

☐	Verify solicitation letter included confidentiality disclosure statement
	• Include a list of referees to whom each solicitation was sent or an indication that the same letter was sent to all referees

10. FILE PREPARATION CHECKLIST: PROMOTION TO FULL RANK

10. ☐ **Referee I.D. List**

11. ☐ **External Referee Letters**

☐	3 External Letters (**MINIMUM**)
	• Verify external referees are independent
	• Verify the majority of external referees were selected by the department
	• Code letters in correspondence with the Referee I.D. List (e.g. the letter from Referee A on the list should have the corresponding letter "A" in the upper right hand corner of **ALL** pages)

12. ☐ **Course load & Student Direction form (General Campus) or Teaching Quantification Form (Health Sciences) signed by the candidate**

13. ☐ **Teaching Evaluations**

☐	• Undergraduate (CAPE Evaluations), including student comments
	• Graduate, including student comments
	• Memo explaining any missing evaluations

14. ☐ **Copies of Publications**

☐	Publications should be numbered to correspond with their entry on the Bibliography
	• 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

15. ☐ **Academic Biography and Bibliography Packet**

☐	• Updated to reflect new work completed during the review period
	• Do not include work completed after October 15th
	• Verify "Line" placement is correct
	• Signed and dated by the employee/candidate

16. ☐ **Sabbatical Leave Reports (IF APPLICABLE)**

UC SAN DIEGO-ACADEMIC PERSONNEL SERIVCE
11. FILE PREPARATION CHECKLIST: RETENTION & PRE-EMPTIVE RETENTION

*NOTE-CONTACT YOUR DEAN'S OFFICE AND APS IMMEDIATELY TO ENSURE THE DEAN HAS DISCUSSED THE CASE WITH THE EVC PRIOR TO THE FILE SUBMISSION AND THAT THE EVC HAS PRE-APPROVED THE PROPOSAL

*NOTE-DOCUMENTS ARE LISTED IN ORDER OF INCLUSION FROM BEGINNING TO END

1. ☐ **Recommendation Summary Form**

☐	Verify form is complete and consistent with department letter

2. ☐ **UC Academic Employment History**

☐	Appointment history listed and includes the following: • Appointment Period (Dates) • Title and Step • Percent Time • Department
☐	Leave and Sabbatical history listed and includes the following: • Periods without pay during the review period including dates • Complete sabbatical and leave history should be listed for candidate's career
☐	Accelerated merit advancements should be annotated with an asterisk

3. ☐ **Off- Scale Salary Calculation Slip (OPTIONAL)**

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

☐	Proposed action-clarify if an accelerated promotion, or, a promotion with an accelerated merit. • Title, Rank, & Step • Salary • Effective Date
☐	Discuss importance of retaining candidate, effect of loss on the department
☐	Discuss how the outside institution compares to UCSD
☐	Provide thorough justification when recommending the award of, or increase to, a market off-scale salary
☐	Note conflicts of interest in the file. • Ensure the file writer has not collaborated with the candidate in the past 5 years.

☐ Evaluate the candidate's qualifications and effectiveness in the following areas:
- Research & Creative Activities
  - 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
    - Indicate whether journals are refereed and their rate of acceptance/rejection
  - Discuss candidate's success in obtaining funding for research and other creative activities
    - Indicate the candidate's grant-related roles
- Teaching Activities
  - 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
  - Describe candidate's professional achievements
  - Describe the nature and quality of the candidate's service contributions

5. ☐ **Proof of Outside Offer**

☐ Copy of outside offer for retentions or letter of credible evidence of outside interest if a pre-emptive retention
- If offer is **FOREIGN**, convert currency to US Dollars and convert to an academic year salary.

6. ☐ **Certification B**

☐ Signed and dated by the employee **AFTER** he/she reviews the Department Recommendation Letter

7. ☐ **Certification A**

☐ Signed and dated by the employee **AFTER** he/she reviews redacted department ad hoc/division and external referee letters

8. ☐ **Departmental Ad Hoc Report**

☐ *REQUIRED IF RENTETION/PRE-EMPTIVE RETENTION COUPLED WITH A REVIEW ACTION*
OPTIONAL FOR REVIEWED CONSISTING OF A MARKET OFF-SCALE SALARY ONLY
- Signed by all committee members

9. ☐ **Candidate's Self Evaluation**

☐ *REQUIRED IF RENTETION/PRE-EMPTIVE RETENTION COUPLED WITH A REVIEW ACTION*
OPTIONAL FOR REVIEWED CONSISTING OF A MARKET OFF-SCALE SALARY ONLY

10. ☐ **Course load & Student Direction form (General Campus) or Teaching Quantification Form (Health Sciences) signed by the candidate**

> ☐ **REQUIRED IF RENTETION/PRE-EMPTIVE RETENTION COUPLED WITH A REVIEW ACTION*
> **OPTIONAL FOR REVIEWED CONSISTING OF A MARKET OFF-SCALE SALARY ONLY*

11. ☐ **Teaching Evaluations**

> ☐ **REQUIRED IF RENTETION/PRE-EMPTIVE RETENTION COUPLED WITH A REVIEW ACTION*
> **OPTIONAL FOR REVIEWED CONSISTING OF A MARKET OFF-SCALE SALARY ONLY*
> - Undergraduate (CAPE Evaluations), including student comments
> - Graduate, including student comments
> - Memo explaining any missing evaluations

12. ☐ **Copies of Publications**

> ☐ **REQUIRED IF RENTETION/PRE-EMPTIVE RETENTION COUPLED WITH A REVIEW ACTION*
> **OPTIONAL FOR REVIEWED CONSISTING OF A MARKET OFF-SCALE SALARY ONLY*
> - Publications should be numbered to correspond with their entry on the Bibliography
> - 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

13. ☐ **Academic Biography and Bibliography Packet**

> ☐
> - Updated to reflect new work completed during the review period
> - Do not include work completed after October 15th
> - Verify "Line" placement is correct
> - Signed and dated by the employee/candidate

14. ☐ **Sabbatical Leave Reports (IF APPLICABLE)**

*NOTE-DOCUMENTS ARE LISTED IN ORDER OF INCLUSION FROM BEGINNING TO END

1. ☐ **Recommendation Summary Form**

☐	Verify the following: "Advancement to/through Step VI" box is checked - Indicate whether it's a Normal or Accelerated Advancement" - If Advancement is "Accelerated," specify number of acceleration years
☐	"Present Status" and "Proposed Status" complete and consistent with department letter
☐	Department vote results included and properly documented
☐	Proper Department Chair signature approvals verified and documented

2. ☐ **UC Academic Employment History**

☐	Appointment history listed and includes the following: - Appointment Period (Dates) - Title and Step - Percent Time - Department
☐	Leave and Sabbatical history listed and includes the following: - Periods without pay during the review period including dates - Complete sabbatical and leave history should be listed for candidate's career
☐	Accelerated merit advancements should be annotated with an asterisk

3. ☐ **Off-Scale Salary Calculation Slip (OPTIONAL)**

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

☐	State the proposed: - Title, Rank, & Step - Salary - Effective Date
☐	Include department standards for merit advancement to Step V
☐	Step VI - Evidence of: - Highly distinguished scholarship - Excellent University teaching - Highly meritorious service
☐	Provide thorough justification when recommending award of a bonus off-scale salary.
☐	Department consultation and vote results - Include an explanation for negative votes, abstentions, and absences. - Verify the vote complies with policy - PPM 230-28 and Academic Senate Bylaw 55
☐	Note conflicts of interest in the file. Ensure the file writer has not collaborated with the candidate in the past 5 years.

☐ Evaluate the candidate's qualifications and effectiveness in the following areas:
- Research & Creative Activities
    - 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
        - Indicate whether journals are refereed and their rate of acceptance/rejection
    - Discuss candidate's success in obtaining funding for research and other creative activities
        - Indicate the candidate's grant-related roles
- Teaching Activities
    - 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
    - Describe candidate's professional achievements
    - Describe the nature and quality of the candidate's service contributions

5. ☐ **Certification B**

☐ Signed and dated by the employee *AFTER* he/she reviews the Department Recommendation Letter

6. ☐ **Certification A**

☐ Signed and dated by the employee *AFTER* he/she reviews redacted department ad hoc/division and external referee letters

7. ☐ **Departmental Ad Hoc Report (WHERE APPLICABLE)**

☐ Signed by all committee members
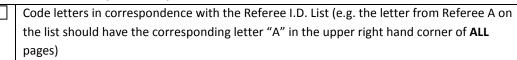
8. ☐ **Candidate's Self Evaluation (OPTIONAL)**

9. ☐ **Copy of Solicitation Letter to External Candidates (OPTIONAL)**

☐ Verify solicitation letter included confidentiality disclosure statement
- Include a list of referees to whom each solicitation was sent or an indication that the same letter was sent to all referees

10. ☐ **Referee I.D. List (OPTIONAL)**

11. ☐ **External Referee Letters (OPTIONAL)**

☐	Code letters in correspondence with the Referee I.D. List (e.g. the letter from Referee A on the list should have the corresponding letter "A" in the upper right hand corner of **ALL** pages)

12. ☐ **Course load & Student Direction form (General Campus) or Teaching Quantification Form (Health Sciences) signed by the candidate**

13. ☐ **Teaching Evaluations**

☐	• Undergraduate (CAPE Evaluations), including student comments • Graduate, including student comments • Memo explaining any missing evaluations

14. ☐ **Copies of Publications**

☐	Publications should be numbered to correspond with their entry on the Bibliography • 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

15. ☐ **Academic Biography and Bibliography Packet**

☐	• Updated to reflect new work completed during the review period • Do not include work completed after October 15th • Verify "Line" placement is correct • Signed and dated by the employee/candidate

16. ☐ **Sabbatical Leave Reports (IF APPLICABLE)**