

2.4 Preparing an Appointment File

1. General

The following items should be presented in an appointment file in the order listed below. All documents received and reviewed by departmental reviewers, and all letters from external referees, must be included in the file. The same documents must be seen by all those with responsibility for evaluating the file.

2. Review History

A UC Academic Review History must be included if the proposed candidate has had previous UC academic employment, including service at another UC campus. The review history should show periods of service and the title, step, percentage of time, and department for each period. The review history should cover the candidate's entire period of academic employment at any UC institution. Also, be sure to show periods of leave, including sabbaticals and leaves without pay. Salary information should not be listed.

About System Generated Review History Documents

System generated review histories only include UC San Diego history to the extent available in AP Data, generally beginning in the mid-90s. Departments/schools are welcome to include addendum histories detailing employment at other UC institutions or periods prior to those available in the AP Data system.

3. Departmental Recommendation Letter – Appointments

Related Manual Sections: [3.4.7](#)

The departmental recommendation letter represents the department's justification and reasoning for the proposed action. It should be based on an evaluation of the appointee by all eligible members of the department, and should be addressed to the administrator with approval authority for the proposed action, as specified in the [Authority and Review Chart](#).

For joint appointments, the home department is responsible for preparing the file and providing copies of evaluations and recommendations from a candidate's other departments. The chairs of each department may either submit separate letters of recommendation or elect to co-author one letter. The letter(s) should indicate the degree of consultation in each department or program, as well as the candidate's expected role in each area.

Recruitment or other financial incentives and proposed resources (space assignments, non-salaried resources, etc.) are not appropriate in the departmental recommendation letter and are best left out of the appointment file altogether.

If the department chair and the candidate are near relatives (see [APM 520](#) for definition) or close collaborators, the chair should recuse themselves and the vice chair (or other senior faculty member, such as a former department chair) should prepare the appointment file and draft the departmental recommendation letter. To determine if the candidate has collaborated with the department chair or vice chair, check the candidate's bio-bib to see if they have published with the appointee within the past five (5) years. If so, another faculty member will need to author the departmental recommendation letter and the solicitation of external referees, as applicable. A close collaborator is generally defined as someone who has published and/or who has worked on a grant or project with the appointee within the previous five (5) years.

In accordance with the procedural regulations of the Academic Senate and established governance practices of the department, the department chair is responsible for drafting the departmental recommendation letter, which is a presentation of the department's recommendation of appointment based upon the evaluation of the appointee by all eligible members of the department. The letter should include:

- a. The proposed title, rank, step, salary, effective appointment date(s), and any funding contingencies. These should be specified in the first paragraph.
- b. A brief description of the recruitment conducted by the department for the position, or a description of the waiver request, and how the candidate was selected. Other applicants should not be identified in this description, either by name or by a description of their activities or affiliations.
- c. Justification of the recommended rank, step, and salary based on the criteria specified for the series, including justification for a market off-scale salary, if applicable. If the market-off scale salary proposal is based on an Entry Level Salary Agreement (ELSA) please indicate in the letter.

If and when available, it's recommended departments provide reviewers with a comparative statistical analysis as way to further justify a proposed rank and step,

- d. A description of the nature and extent of consultation on the proposed appointment with members of the department, including a statement specifying the degree of departmental consultation (e.g., use of a departmental ad hoc committee, discussion at a faculty meeting) and any dissenting opinion. The letter must make clear who was consulted and the manner of consultation.
- e. Verify that a complete file was presented for voting members' consideration, and present the results of all votes taken, including the reason(s) (if known) for any negative votes. Departments are required to document in the appointment file the participation and membership of the departmental ad hoc committee, but the departmental recommendation letter should not mention committee members' names.

- f. A description of the candidate's expected role(s) in the department whether salaries or non-salaried: research to be conducted and/or classes the candidate will teach; the candidate's anticipated contribution to the department's instructional mission at both the undergraduate and graduate levels; a description of the department's teaching requirements and how the candidate's teaching load meets those requirements (for applicable titles); and a description of the type of service that will be expected of the candidate.
- g. A thorough evaluation of the candidate's qualifications in accordance with the specific criteria established for the proposed series. This includes a full and detailed evaluation of the candidate's scholarly and creative achievements, a description and evaluation of the candidate's teaching experience and effectiveness, and assessment of their professional reputation in the academic community.
- h. When published work in joint authorship (or other product of joint effort) is presented as evidence, it is the responsibility of the department chair to establish as clearly as possible the role of the candidate in the joint effort. The department should identify the extent to which the joint work meets the specified research expectations.
- i. For appointments with teaching responsibilities – If available, the departmental recommendation letter should include a meaningful assessment of the candidate's teaching effectiveness at previous institutions at both the undergraduate and graduate levels of instruction. Departments may also wish to review [APM 210](#), Instructions to Review and Appraisal Committees, for a better understanding of the criteria and standards used by campus review committees when advising on actions concerning prospective appointees in the instructional titles.
- j. A summary of the external referees' assessments of the candidate, ensuring that individuals who have provided confidential letters of evaluation are not identified in the departmental letter except by code as assigned on the Referee I.D. list. Excessive quoting of referees' letters should be avoided, and referees should not be identified, either by name or by a description of their activities or affiliations. Departments should identify on the Referee I.D. list any referees who have conflicts of interest in recommending the candidate and from which letters should not be considered independent.
- k. All department recommendation letters for appointment should include the name of a senior faculty member or members who will serve as a mentor to the candidate (this includes assistant-level appointees, as well as associate and above ranks).
- l. A statement from the chair regarding any conflicts of interest. See Section [1.2.2](#) and [1.6](#) for potential conflicts of interest.
- m. For visiting titles - Describe clearly the special expertise that the visitor brings to the campus, that the appointment is for limited duration, and clearly state that the individual will be returning to the home institution upon completion of the visiting appointment.
- n. For Salaried Professor of Practice titles – When proposing a salaried appointment in the Professor of Practice series, the department must clearly articulate the candidate's expected

contributions and specifically discuss how these contributions justify appointment at the proposed percentage of effort. The department must further articulate the expected impact of the candidate's expected contributions to the department and explain the manner in which the candidate's engagement with the department will be commensurate with the percentage of effort of the appointment.

- o. For Acting titles – When an acting prefix is used to indicate the lack of Ph.D. for an Assistant Professor candidate whom the department intends to transfer to a regular rank Assistant Professor title, or in the rare case when used at the Associate or Full level (e.g. when the appointee lacks teaching experience), the appointment file proposing the Acting title must clearly indicate the department's recommendation regarding metrics to be achieved for regularization.

4. Department Chair's Independent Letter (If Applicable)

Related Manual Sections: [3.4.6](#)

The chair may, in a separate letter, make an independent evaluation and recommendation, which may differ from the departmental recommendation. This letter should be shared with all voting members of the department post completion of the departmental recommendation letter and post completion and submission of a candidate's Certification B and/or 2.

About a Department Chair's Independent Letter

A department chair's independent letter should be shared with all departmental voting members and added as a component of an in-process appointment or review file after the department's recommendation letter has been completed and a candidate has submitted Certification B and/or Certification 2.

The chair's independent letter is shared with voting member on a purely informational basis.

Per [APM-160](#), the department chair's independent letter is a confidential document and if requested, will be provided to the candidate in redacted form following issuance of a final outcome.

5. Memorandum of Understanding (If Applicable)

Related Manual Sections: [2.3.1](#) [3.2.24](#) [3.4.9](#)

When a department is proposing to hire a candidate to serve in two or more department(s), proposing appointment to a Senate title at less than 50% effort, and/or a permanent multi-campus appointment, a copy of a signed Memorandum of Understanding (MOU) is required to be included in the file. The MOU

outlines each department's performance expectations for the candidate in regards to the academic series criteria for each title that the candidate will hold.

This MOU will also be included in all future academic review files for the candidate.

About Joint Appointment Memorandums of Understanding (MOU)

An MOU is expected for all joint appointments in which a faculty member holds a salaried appointment in more than one department. MOUs for non-salaried secondary appointments are encouraged, but not required. The MOU shall include expectations as to teaching load, research expectations, academic reviews, and any other applicable conditions of employment.

6. Dissenting Letters (If Applicable)

During the recruitment of a candidate, in rare instances, some faculty in the hiring department may not agree with the departmental recommendation. Policy allows these faculty to submit a letter of dissent to include in the appointment file. These letters may not be anonymous and are not considered confidential documents. As such they will be available to the candidate without redaction along with the department letter.

7. Certification Forms (If Applicable)

For candidates who are current UC academic employees Certification 1-A and 2 are required for appointment files. Departments should schedule review files in a manner to provide all candidates a specified period of time to complete these certifications.

a. [Certification 1-A: Certification of Department Review](#)

Should be signed by the candidate after the file is complete, but before the file is evaluated by departmental faculty.

b. [Certification 1-B: Certification of Departmental Committee Report](#) (If Applicable)

Should be completed after a file has been reviewed by a departmental ad hoc committee and the candidate was provided an opportunity to receive a redacted copy of the report before the file is submitted for department review and recommendation.

c. [Certification 2: Certification of Departmental Recommendation Access](#)

Should be signed after the departmental recommendation has been determined.

d. [Certification 3: Certification of Additional Materials](#) (If Applicable)

Should be completed if additional material is added to a file after determination of an initial department recommendation and its submission to campus reviewers.

The purpose of the certifications is to ensure that proper procedures have been followed, so it is important that they be signed at the correct point in the review process and that the candidate understands their significance. Certification 2 is placed in front of Certification 1-A in the file.

8. Departmental Ad Hoc Report (If Applicable)

Related Manual Sections: [1.4.2](#) [3.4.13](#)

Although the department chair is responsible for documenting and presenting the departmental recommendation, a departmental ad hoc committee may be appointed to advise the chair.

Departments are encouraged to document in bylaws how departmental ad hoc committees are used.

Departmental ad hoc committee membership and recommendations (if any) should be included in a file as outlined below:

- a. If an ad hoc committee is convened and advises the department via a formal report, its recommendation becomes part of the file. A signed copy of the ad hoc committee report, with full membership indicated at the end (with member's signatures), must be included in the file. This is a confidential document, and references to ad hoc members must be avoided in the departmental recommendation letter.
- b. If an ad hoc committee is convened to advise the department but no formal report is produced, the department chair should summarize the ad hoc committee's feedback in a few sentences within the departmental recommendation letter. The department chair should avoid identifying any ad hoc committee members within the departmental recommendation letter. Additionally, ad hoc committee membership should be included as an addendum to the Referee I.D. List.

When using ad hoc committees, chairs should ensure the following:

- c. Remind ad hoc committee members of the confidential nature of their assignment and ensure the ad hoc has clear information on the criteria for advancement at the relevant rank and step;
- d. Verify the academic appointee's mentors, co-authors, or collaborators do not chair ad hoc committees. However, they may serve as committee members if their expertise is needed. In these cases, an explanation of why they were asked to serve should be included below the signature block on the ad hoc committee report;

If the departmental ad hoc report fails to describe the content and importance of research and/or creative activity, this should be included in the departmental recommendation letter.

9. Candidate's Personal Statement (Optional)

Related Manual Sections: [1.3.3](#) [3.4.14](#)

The candidate is strongly encouraged to provide a personal statement regarding their academic achievement and future plans.

10. Solicitation Letter to External Referees

Additional Applicable Sections: [1.2.4](#) [3.4.15](#) [3.4.16](#) [3.4.17](#)

External referee letters are required in most academic appointment files. Letters from external referees typically evaluate the candidate's accomplishments, stature, and/or potential and are an extremely important part of any appointment proposal. Individuals asked to provide their opinion should be solicited in writing. Detailed instructions for the selection of external referees are located in [Section 1.2.4](#) of this manual.

About Department Chair Conflicts of Interest

Department chairs should avoid participating in the preparation, signing, or distribution of solicitation letters in cases where their participation presents a conflict of interest.

In cases where the department chair does not author the departmental recommendation due to a conflict of interest, they should also not sign or issue related solicitation letters.

a. Preparation of Solicitation Letters

[Examples of solicitation letters](#) to prospective external referees are available on the Academic Personnel web site. Units are expected to use the pre-approved solicitation letter templates, and the required University confidentiality statement always must be included. If the department would like to deviate from the standard language, it is essential to review the proposed text with the Academic Personnel Office prior to sending the solicitation letter to referees.

External letters may be solicited and received electronically, but they must be submitted with an e-mail from the referee as evidence of authenticity. For Assistant-level appointments proposed at Step I, II, or III, letters of evaluation from the candidate's mentors and others at the home institution are acceptable; however, additional letters from more independent sources should be obtained if available.

A copy of the solicitation letter must be included with the appointment file. If the same letter is sent to several individuals, only one copy should be included in the file. If the text of the letter varies among referees, one copy of each version should be included in the file the date the letter was sent and the names of the recipients should be indicated on each version.

EXTERNAL INDEPENDENT REFEREE LETTER REQUIREMENTS	
Academic Appointments	
Assistant Rank Appointees Assistant Teaching Professor (LPSOE)	Step I-III: 3 External Non-Independent Referee Letters
	Step IV and Above: 3 External Independent Referee Letters
Associate or Full Rank Appointees Associate Teaching Professor (LSOE) Teaching Professor (Sr. LSOE)	5 External Independent Referee Letters
Academic Administrators Academic Coordinators	3 External Independent Referee Letters
Academic Reviews	
Promotion to Associate Professor Promotion to Associate Teaching Professor	5 External Independent Referee Letters
Promotion to Full Professor Promotion to Sr. Teaching Professor	3 External Independent Referee Letters
Advancement to Above Scale	3 External Independent Referee Letters
Career Equity Review (CER)	
Career Equity Reviews (CER) involving advancement to/through a barrier step require the inclusion of referee letters in alignment with this chart.	
Advancement to Step VI	
External referee letters are not required for advancement to Step VI.	
If a department opts to solicit letters, they should only be used when needed to justify an extraordinary case, such as a multiyear acceleration.	

11. Referee I.D. List

The [Identification and Qualifications of External Referees list](#) (informally known as the “Referee I.D. List”) is used to aid reviewers by identifying the external referees asked to provide letters of evaluation and explaining their qualifications to evaluate the candidate. All referees who are solicited should be listed on the form, whether or not they responded, whether or not they provided a letter, and it should be indicated whether they were selected by the department or by the candidate.

12. External Referee Letters

All responses to solicitations for letters from external referees should be included in the file (including, for example, responses stating that they do not have time to write an evaluation).

Letters should be coded to correspond to the Referee I.D. list (the letter from the person designated as Referee A on the form should have the corresponding letter “A” in the upper right-hand corner of all pages; the letter from Referee B should be coded with “B,” and so forth). See [Section 1.2.4](#) for additional information.

In cases where the department is aware a referee is not independent, they should include an explanation of why the referee was solicited in the Referee I.D. list.

About External Referee Declinations

In situations where an external referee is solicited and the referee responds with a declination to participate, the referee’s declination should be included in the corresponding academic appointment or review file similar to an external referee letter.

The declining referee should be noted on the Referee ID List and their declination, whether in memo or email format, should be labeled with the corresponding Referee ID number and included in the file.

13. Teaching Evaluations

When a candidate who has teaching experience is being proposed for an appointment that requires teaching, the appointment file must include a thorough evaluation of teaching experience and effectiveness, as well as copies of past teaching evaluations. If the candidate has no prior teaching experience, the departmental letter soliciting external letters should request an assessment of the candidate’s potential teaching effectiveness.

14. Level of Administrative Responsibility (LAR) Form (If Applicable)

The [Level of Administrative Responsibility](#) (LAR) Form is only used for the appointment of Academic Administrators and Academic Coordinators. It provides an overview of the budget, personnel, and space that will be under the candidate’s supervision.

15. Job Description (If Applicable)

A job description must be provided in appointment files for the Academic Administrator and Academic Coordinator series, along with an explanation of the candidate's role in the program and within a larger unit, if appropriate.

16. Academic Biography & Bibliography Form

Related Manual Sections: [1.3.2](#) [3.4.24](#)

The UC San Diego [Academic Personal Data Form](#) and [Biography/Bibliography](#) portion of the UC San Diego Academic Biography and Bibliography packet must be prepared and submitted with all files. Academic appointments can be accompanied by a candidate's curriculum vitae (CV) with an annotated publication list in lieu of a UC San Diego review-formatted bibliography. The bibliography portion must comply with the written instructions provided in the packet and should be reviewed and signed by the candidate. If the candidate is unavailable for signature, the form should be so annotated, and a signature should be obtained at the earliest opportunity. The department may also obtain the candidate's signature via email and include in the file.

If a CV and publication list are submitted, the list should be annotated so that the publications are listed and numbered in chronological order from least to most recent (i.e., the oldest publication is numbered 1, the next oldest is numbered 2, etc.) If any listed items are in the process of being submitted, accepted, or in press, they should be annotated accordingly.

Instructions on how to complete a UC San Diego Biography/Bibliography can be found [here](#).

About New Appointment Biography/Bibliography Requirements

The Academic Biography Data Form must be completed and included in new appointments, but a CV with an annotated publication list may be submitted in lieu of the UC San Diego Bibliography section.

17. Other Items that Accompany an Appointment File

a. Publications or Comparable Items

Copies of the candidate's most important publications, completed work in manuscript form that has been accepted for publication, and published reviews of any publications should be forwarded with the file, unless a functioning electronic link to the publications is provided in the CV or bibliography. Films, CDs, and other items may be submitted in addition to or instead of published works, as appropriate for the candidate's discipline. Many if not most candidates select the top 5 to 10 items they consider to be representative of their seminal works.

18. Submitting an Appointment File

All personnel reviews are submitted in the Interfolio system. Click [here](#) to visit the Interfolio resource page on the APS website.

Appointment files are started and prepared at the department level and once completed are submitted as follows:

- a. **General Campus** – submit files to the appropriate school’s dean’s office.
- b. **Health Sciences** – submit files to the Vice Chancellor HS Academic Affairs Office, School of Medicine
- c. **Scripps Institution of Oceanography** – submit files to the SIO Academic Personnel Office.

19. Appointment File Outcomes

After an appointment file is submitted, it is routed to various reviewers as indicated in the [Authority and Review Chart](#). These vary between the General Campus, Health Sciences and SIO, but for appointments, they may include the school dean, , the Committee on Academic Personnel ([CAP](#)), the Project Scientist and Specialist Review Panel ([PSSRP](#)), the Academic Administrator and Coordinator Review Panel ([AARP](#)), the Research Scientist Committee on Academic Personnel ([RS-CAP](#)), the Senior Associate Vice Chancellor for Academic Affairs, the Executive Vice Chancellor for Academic Affairs, and the Chancellor. The administrator with final approval authority is also indicated in the Authority and Review Chart.

During the review process, the department may receive the following from the office of the administrator with the final appointing authority:

a. Request for Additional Information

The department chair may receive a request for additional information or clarification for a particular file. The request will indicate the number of days in which a response is due and usually goes as follows:

- I. 90 days for additional information requests involving the solicitation of additional referee letters or teaching evaluations/materials
- II. 30 days for other information requests

The department should notify the appointing authority in writing if additional time is needed to respond to the request and the reason for the extension. If the candidate is an existing UC academic employee, they must sign Certification 3 to acknowledge that new material has been added to the appointment file. While Certification 3 is not required if the

candidate is not already a UC academic employee, it is encouraged. Once the requested material has been added to the file, the file is re-routed to reviewers for further evaluation and comment. In the response to the request for additional information, the department chair should indicate the level of departmental consultation and review. Failure to respond by the response deadline may result in the appointment effective date being updated to a later date.

b. Preliminary Assessment

If reviewers' recommendations differ from the departmental recommendation, a preliminary assessment is sent to the department with a corresponding 30 day response period for acceptance of the preliminary outcome or reconsideration of the initial proposed action. The department should notify the appointing authority in writing if additional time is needed to respond to the preliminary assessment and the reason for the extension. The department may choose to accept the preliminary assessment or to challenge it. In either case, the department must respond within the requested time period (including in its response the level of departmental consultation and review) in writing with new information and if the candidate is an existing UC academic employee, they must sign [Certification 3](#) to acknowledge that new material has been added to the appointment file. While Certification 3 is not required if the candidate is not already a UC academic employee, it is encouraged. Once the requested material has been added to the file, the file is re-routed to reviewers for further evaluation and comment. Failure to respond with an acceptance or reconsideration request by the response deadline will result in the preliminary assessment becoming final, and the final letter (including offer letters) will be issued.

c. Offer Letter

If the appointment is approved as proposed, the final appointing authority will issue an offer letter addressed to the candidate. Check with your school dean as to the distribution of the offer letter to the candidate, as practices vary. Candidates may be asked to sign and return a copy of the accepted offer to their department or school, but are generally only required to indicate acceptance within three weeks of the date of offer letter by emailing the general Academic Personnel inbox academicpersonnel@ucsd.edu.

If the proposed appointment is not approved, the department is notified by the appropriate authority. The department is responsible for informing the candidate.

Requests for an extended acceptance deadline may be submitted to the applicable delegated authority's office.

d. Implementing an Approved Appointment

Following receipt of the candidate's formal, written acceptance of the appointment offer made by the appointing authority, the department will be notified to implement the appointment online. Prior to entry of the appointment into UCPATH, the department should complete all required payroll forms. Immediately following PATH entry, appropriate payroll forms must be forwarded to the Payroll Office.