

# 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 SERVICE**

**1. FILE PREPARATION CHECKLIST: ADVANCEMENT TO ABOVE SCALE**

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

**1. ☐ Recommendation Summary Form**

<input type="checkbox"/>	<p>Advancement "Above Scale" checked</p> <ul style="list-style-type: none"> <li>Specify if Advancement is "Normal" or "Accelerated"</li> <li>If Advancement is "Accelerated" specify number of acceleration years</li> </ul>
<input type="checkbox"/>	"Present Status" and "Proposed Status" complete and consistent with department letter
<input type="checkbox"/>	Department vote results included and properly documented
<input type="checkbox"/>	Proper Department Chair signature approvals verified and documented

**2. ☐ UC Academic Employment History**

<input type="checkbox"/>	<p>Appointment history listed and includes the following:</p> <ul style="list-style-type: none"> <li>Appointment Period (Dates)</li> <li>Title and Step</li> <li>Percent Time</li> <li>Department</li> </ul>
<input type="checkbox"/>	<p>Leave and Sabbatical history listed and includes the following:</p> <ul style="list-style-type: none"> <li>Periods without pay during the review period including dates</li> <li>Complete sabbatical and leave history should be listed for candidate's career</li> </ul>
<input type="checkbox"/>	Accelerated merit advancements should be annotated with an asterisk

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

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

<input type="checkbox"/>	<p>Proposed status for which approvals are being requested to include:</p> <ul style="list-style-type: none"> <li>Title, Rank, &amp; Step</li> <li>Salary</li> <li>Effective Date</li> </ul>
<input type="checkbox"/>	<p>Proposals for above scale advancement require evidence of the following be included and discussed:</p> <ul style="list-style-type: none"> <li>Internationally recognized and acclaimed research</li> <li>Discussion of candidate's standing in his/her field to include international reputation</li> <li>Excellent teaching performance and service</li> <li>Demonstration of additional merit and distinction beyond the performance on which advancement to Step IV was based</li> </ul>
<input type="checkbox"/>	Disposition of any existing off-scale salary components and provide justification for any exceptions to policy
<input type="checkbox"/>	<p>Department consultation and vote results</p> <ul style="list-style-type: none"> <li>Include an explanation for negative votes, abstentions, and absences.</li> <li>Verify the vote complies with policy                             <ul style="list-style-type: none"> <li>PPM 230-28 and Academic Senate Bylaw 55</li> </ul> </li> </ul>

## 1. FILE PREPARATION CHECKLIST: ADVANCEMENT TO ABOVE SCALE

<input type="checkbox"/>	Note conflicts of interest in the file. <ul style="list-style-type: none"> <li>Ensure the file writer has not collaborated with the candidate in the past 5 years.</li> </ul>
<input type="checkbox"/>	Referee letters: <ul style="list-style-type: none"> <li>Use letter codes, from the Referee ID List, when referring to external referees, e.g., "Referee A stated..."</li> <li><b>DO NOT IDENTIFY EXTERNAL REFEREES BY NAME</b></li> </ul>
<input type="checkbox"/>	Department standards for advancement to Above Scale.
<input type="checkbox"/>	Evaluate the candidate's qualifications and effectiveness in the following areas: <ul style="list-style-type: none"> <li>Research &amp; Creative Activities             <ul style="list-style-type: none"> <li>Describe and evaluate the research and other creative activity conducted during candidate's career and its impact his/her respective field</li> <li>Indicate journal and conference proceeding standings                 <ul style="list-style-type: none"> <li>Indicate whether journals are refereed and their rate of acceptance/rejection</li> </ul> </li> <li>Discuss candidate's success in obtaining funding for research and other creative activities                 <ul style="list-style-type: none"> <li>Indicate the candidate's grant-related roles</li> </ul> </li> </ul> </li> <li>Teaching Activities             <ul style="list-style-type: none"> <li>Discuss teaching effectiveness</li> <li>Discuss any problems in the area of teaching and specify performance improvement plans</li> <li>Compare candidate's teaching load to normal departmental teaching load</li> </ul> </li> <li>Service             <ul style="list-style-type: none"> <li>Describe candidate's professional achievements</li> <li>Describe the nature and quality of the candidate's service contributions</li> </ul> </li> </ul>

5. ☐ Certification B

<input type="checkbox"/>	Signed and dated by the employee <b>AFTER</b> he/she reviews the Department Recommendation Letter
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6. ☐ Certification A

<input type="checkbox"/>	Signed and dated by the employee <b>AFTER</b> he/she reviews redacted department ad-hoc/division and external referee letters
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7. ☐ Departmental Ad Hoc Report (WHERE APPLICABLE)

<input type="checkbox"/>	Signed by all committee members
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8. ☐ Candidate's Self Evaluation (OPTIONAL)

1. FILE PREPARATION CHECKLIST: ADVANCEMENT TO ABOVE SCALE

9. ☐ Copy of Solicitation Letter to External Candidates

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

11. ☐ External Referee Letters

<input type="checkbox"/>	3 External Letters ( <b>MINIMUM</b> ) <ul style="list-style-type: none"> <li>• Verify external referees are independent</li> <li>• Verify the majority of external referees were selected by the department</li> <li>• 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 <b>ALL</b> pages)</li> </ul>
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12. ☐ Course load & Student Direction form (General Campus) or Teaching Quantification Form (Health Sciences) signed by the candidate

13. ☐ Teaching Evaluations

<input type="checkbox"/>	<ul style="list-style-type: none"> <li>• Undergraduate (CAPE Evaluations), including student comments</li> <li>• Graduate, including student comments</li> <li>• Memo explaining any missing evaluations</li> </ul>
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14. ☐ Copies of Publications

<input type="checkbox"/>	Publications should be numbered to correspond with their entry on the Bibliography <ul style="list-style-type: none"> <li>• Verify consistency</li> <li>• 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</li> <li>• All significant career publications should be submitted and the corresponding citation of the Biography and Bibliography form marked with an asterisk</li> <li>• If publications are submitted by way of an online hyperlink verify the links are functional</li> </ul>
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15. ☐ Academic Biography and Bibliography Packet

<input type="checkbox"/>	<ul style="list-style-type: none"> <li>• Updated to reflect new work completed during the review period</li> <li>• Do not include work completed after October 15<sup>th</sup></li> <li>• Verify "Line" placement is correct</li> <li>• Signed and dated by the employee/candidate</li> </ul>
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16. ☐ Sabbatical Leave Reports (IF APPLICABLE)

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

<input type="checkbox"/>	Verify the following: <ul style="list-style-type: none"> <li>• “Merit” checked</li> <li>• “Acceleration” checked <ul style="list-style-type: none"> <li>○ Specify number of acceleration years</li> </ul> </li> </ul>
<input type="checkbox"/>	“Present Status” and “Proposed Status” complete and consistent with department letter
<input type="checkbox"/>	Department vote results included and properly documented
<input type="checkbox"/>	Proper Department Chair signature approvals verified and documented

2. ☐ UC Academic Employment History

<input type="checkbox"/>	Appointment history listed and includes the following: <ul style="list-style-type: none"> <li>• Appointment Period (Dates)</li> <li>• Title and Step</li> <li>• Percent Time</li> <li>• Department</li> </ul>
<input type="checkbox"/>	Leave and Sabbatical history listed and includes the following: <ul style="list-style-type: none"> <li>• Periods without pay during the review period including dates</li> <li>• Complete sabbatical and leave history should be listed for candidate’s career</li> </ul>
<input type="checkbox"/>	Accelerated merit advancements should be annotated with an asterisk

3. ☐ Off-Scale Salary Slip (OPTIONAL)

4. ☐ Departmental Recommendation Letter & Points of Discussion

<input type="checkbox"/>	Proposed status for which approvals are being requested to include: <ul style="list-style-type: none"> <li>• Title, Rank, &amp; Step</li> <li>• Salary</li> <li>• Effective Date</li> </ul>
<input type="checkbox"/>	Department standards for normal merit advancement and how candidate exceeded set standards
<input type="checkbox"/>	Provide thorough justification when recommending award of an off-scale salary <ul style="list-style-type: none"> <li>• Internationally recognized and acclaimed research</li> <li>• Discussion of candidate’s standing in his/her field to include international reputation</li> <li>• Excellent teaching performance and service</li> <li>• Demonstration of additional merit and distinction</li> </ul>
<input type="checkbox"/>	Department consultation and vote results <ul style="list-style-type: none"> <li>• Include an explanation for negative votes, abstentions, and absences.</li> <li>• Verify the vote complies with policy <ul style="list-style-type: none"> <li>○ PPM 230-28 and Academic Senate Bylaw 55</li> </ul> </li> </ul>

## 2. FILE PREPARATION CHECKLIST: ACCELERATED ADVANCEMENT

<input type="checkbox"/>	Note conflicts of interest in the file. <ul style="list-style-type: none"> <li>Ensure the file writer has not collaborated with the candidate in the past 5 years.</li> </ul>
<input type="checkbox"/>	Specifically describe the impact on the discipline of the work if that is being used as a justification for acceleration
<input type="checkbox"/>	Indicate whether the requested acceleration is on-cycle or off-cycle <ul style="list-style-type: none"> <li>Off-Cycle review files should present a compelling reasons as to why the file should be considered.</li> </ul>
<input type="checkbox"/>	Evaluate the candidate's <b>EXTRAORDINARY</b> qualifications and effectiveness in the areas of research & creative activity, teaching activities and University and public service <ul style="list-style-type: none"> <li><b><i>Accelerated advancements are not appropriate in cases in which there is a weakness or substandard performance in one <u>or</u> more areas</i></b></li> </ul>
<input type="checkbox"/>	Indicate how achievements are above what is expected for normal advancement in the following areas: <ul style="list-style-type: none"> <li>Research &amp; Creative Activities             <ul style="list-style-type: none"> <li>Describe and evaluate the research and other creative activity conducted during candidate's career and its impact his/her respective field</li> <li>Indicate journal and conference proceeding standings                 <ul style="list-style-type: none"> <li>Indicate whether journals are refereed and their rate of acceptance/rejection</li> </ul> </li> <li>Discuss candidate's success in obtaining funding for research and other creative activities                 <ul style="list-style-type: none"> <li>Indicate the candidate's grant-related roles</li> </ul> </li> </ul> </li> <li>Teaching Activities             <ul style="list-style-type: none"> <li>Discuss teaching effectiveness</li> <li>Discuss any problems in the area of teaching, and specify performance improvement plans</li> <li>Compare candidate's teaching load to normal departmental teaching load</li> </ul> </li> <li>Service             <ul style="list-style-type: none"> <li>Describe candidate's professional achievements</li> <li>Describe the nature and quality of the candidate's service contributions</li> </ul> </li> </ul>
<input type="checkbox"/>	<ul style="list-style-type: none"> <li>Referee letters (If Required)             <ul style="list-style-type: none"> <li>Use letter codes, from the Referee ID List, when referring to external referees, e.g., "Referee A stated..."                 <ul style="list-style-type: none"> <li><b><i>DO NOT IDENTIFY EXTERNAL REFEREES BY NAME</i></b></li> </ul> </li> </ul> </li> </ul>

5. ☐ Certification B

<input type="checkbox"/>	Signed and dated by the employee <b>AFTER</b> he/she reviews the Department Recommendation Letter
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6. ☐ Certification A

<input type="checkbox"/>	Signed and dated by the employee <b>AFTER</b> he/she reviews redacted department ad hoc/division and external referee letters
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## 2. FILE PREPARATION CHECKLIST: ACCELERATED ADVANCEMENT

7. ☐ Departmental Ad Hoc Report (WHERE APPLICABLE)

<input type="checkbox"/>	Signed by all committee members
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8. ☐ Candidate's Self Evaluation (OPTIONAL)9. ☐ Copy of Solicitation Letter to External Candidates

<input type="checkbox"/>	Verify solicitation letter included confidentiality disclosure statement <ul style="list-style-type: none"> <li>• Include a list of referees to whom each solicitation was sent or an indication that the same letter was sent to all referees</li> </ul>
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10. ☐ Referee I.D. List11. ☐ External Letters

<input type="checkbox"/>	Optional unless promotion to Associate, Full, or Advancement to Above Scale
<input type="checkbox"/>	<ul style="list-style-type: none"> <li>• Verify external referees are independent</li> <li>• Verify the majority of external referees were selected by the department</li> <li>• 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 <b>ALL</b> pages)</li> </ul>

12. ☐ Course load & Student Direction form (General Campus) or Teaching Quantification Form (Health Sciences) signed by the candidate13. ☐ Teaching Evaluations

<input type="checkbox"/>	<ul style="list-style-type: none"> <li>• Undergraduate (CAPE Evaluations), including student comments</li> <li>• Graduate, including student comments</li> <li>• Memo explaining any missing evaluations</li> </ul>
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14. ☐ Copies of Publications

<input type="checkbox"/>	Publications should be numbered to correspond with their entry on the Bibliography <ul style="list-style-type: none"> <li>• Verify consistency-numbered to correspond with Bibliography entry</li> <li>• All new items in Section A of the bibliography should be submitted and the corresponding citation on the Bibliography marked with an asterisk</li> <li>• If career review, all significant career pubs should be submitted and the corresponding citation on the Bibliography marked with an asterisk</li> <li>• If publications are submitted by way of an online hyperlink verify the links are functional</li> </ul>
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15. ☐ Academic Biography and Bibliography Packet

<input type="checkbox"/>	<ul style="list-style-type: none"> <li>• Updated to reflect new work completed during the review period</li> <li>• Do not include work completed after October 15<sup>th</sup></li> <li>• Verify "Line" placement is correct</li> <li>• Signed and dated by the employee/candidate</li> </ul>
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2. FILE PREPARATION CHECKLIST: ACCELERATED ADVANCEMENT

16. ☐ Sabbatical Leave Reports (IF APPLICABLE)



**UC SAN DIEGO-ACADEMIC PERSONNEL SERVICE**  
**3. FILE PREPARATION CHECKLIST: APPRAISAL**

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

**1. ☐ Recommendation Summary Form**

<input type="checkbox"/>	Verify the following: <ul style="list-style-type: none"> <li>• “Appraisal” checked</li> </ul>
<input type="checkbox"/>	“Present Status” and “Proposed Status” complete and consistent with department letter
<input type="checkbox"/>	Department vote results included and properly documented
<input type="checkbox"/>	Proper Department Chair signature approvals verified and documented

**2. ☐ UC Academic Employment History**

<input type="checkbox"/>	Appointment history listed and includes the following: <ul style="list-style-type: none"> <li>• Appointment Period (Dates)</li> <li>• Title and Step</li> <li>• Percent Time</li> <li>• Department</li> </ul>
<input type="checkbox"/>	Leave and Sabbatical history listed and includes the following: <ul style="list-style-type: none"> <li>• Periods without pay during the review period including dates</li> <li>• Complete sabbatical and leave history should be listed for candidate’s career</li> </ul>
<input type="checkbox"/>	Accelerated merit advancements should be annotated with an asterisk

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

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

<input type="checkbox"/>	Proposed status for which approvals are being requested to include: <ul style="list-style-type: none"> <li>• Complete sabbatical and leave history should be listed for candidate’s career</li> <li>• Title, Rank, &amp; Step</li> <li>• Salary</li> <li>• Effective Date</li> </ul>
<input type="checkbox"/>	Department standards for normal merit advancement and how candidate meet the established standards
<input type="checkbox"/>	Provide thorough justification when recommending award of a off-scale salary <ul style="list-style-type: none"> <li>• Internationally recognized and acclaimed research</li> <li>• Discussion of candidate’s standing in his/her field to include international reputation</li> <li>• Excellent teaching performance and service</li> <li>• Demonstration of additional merit and distinction</li> </ul>
<input type="checkbox"/>	Note conflicts of interest in the file. <ul style="list-style-type: none"> <li>• Ensure the file writer has not collaborated with the candidate in the past 5 years.</li> </ul>

UC SAN DIEGO-ACADEMIC PERSONNEL SERVICE  
3. FILE PREPARATION CHECKLIST: APPRAISAL

<input type="checkbox"/>	<p>Evaluate the candidate's qualifications and effectiveness in the areas of research &amp; creative activity, teaching activities, and University and public service</p> <ul style="list-style-type: none"> <li>• Research &amp; Creative Activities <ul style="list-style-type: none"> <li>○ Describe and evaluate the research and other creative activity conducted during candidate's career and its impact his/her respective field</li> <li>○ Indicate journal and conference proceeding standings <ul style="list-style-type: none"> <li>▪ Indicate whether journals are refereed and their rate of acceptance/rejection</li> </ul> </li> <li>○ Discuss candidate's success in obtaining funding for research and other creative activities <ul style="list-style-type: none"> <li>▪ Indicate the candidate's grant-related roles</li> </ul> </li> </ul> </li> <li>• Teaching Activities <ul style="list-style-type: none"> <li>○ Discuss teaching effectiveness</li> <li>○ Discuss any problems in the area of teaching, and specify performance improvement plans</li> <li>○ Compare candidate's teaching load to normal departmental teaching loads</li> </ul> </li> <li>• Service <ul style="list-style-type: none"> <li>○ Describe candidate's professional achievements</li> </ul> </li> </ul>
<input type="checkbox"/>	<p>Department consultation and vote results</p> <ul style="list-style-type: none"> <li>• Include an explanation for negative votes, abstentions, and absences.</li> <li>• Verify the vote complies with policy</li> <li>• PPM 230-28 and Academic Senate Bylaw 55</li> </ul>

5. ☐ **Certification B**

<input type="checkbox"/>	Signed and dated by the employee <b>AFTER</b> he/she reviews the Department Recommendation Letter
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6. ☐ **Certification A**

<input type="checkbox"/>	Signed and dated by the employee <b>AFTER</b> he/she reviews redacted department ad hoc/division and external referee letters
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7. ☐ **Departmental Ad Hoc Report (WHERE APPLICABLE)**

<input type="checkbox"/>	Signed by all committee members
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8. ☐ **Candidate's Self Evaluation (OPTIONAL)**

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

<input type="checkbox"/>	<p>Verify solicitation letter included confidentiality disclosure statement</p> <ul style="list-style-type: none"> <li>• Include a list of referees to whom each solicitation was sent or an indication that the same letter was sent to all referees</li> </ul>
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UC SAN DIEGO-ACADEMIC PERSONNEL SERVICE  
**3. FILE PREPARATION CHECKLIST: APPRAISAL**

10. ☐ Referee I.D. List

11. ☐ External Letters

<input type="checkbox"/>	Optional unless promotion to Associate, Full, or Advancement to Above Scale
<input type="checkbox"/>	<ul style="list-style-type: none"> <li>• Verify external referees are independent</li> <li>• Verify the majority of external referees were selected by the department</li> <li>• 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 <b>ALL</b> pages)</li> </ul>

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

13. ☐ Teaching Evaluations

<input type="checkbox"/>	<ul style="list-style-type: none"> <li>• Undergraduate (CAPE Evaluations), including student comments</li> <li>• Graduate, including student comments</li> <li>• Memo explaining any missing evaluations</li> </ul>
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14. ☐ Copies of Publications

<input type="checkbox"/>	<p>Publications should be numbered to correspond with their entry on the Bibliography</p> <ul style="list-style-type: none"> <li>• Verify consistency-numbered to correspond with Bibliography entry</li> <li>• All new items in Section A of the bibliography should be submitted and the corresponding citation on the Bibliography marked with an asterisk</li> <li>• If career review, all significant career pubs should be submitted and the corresponding citation on the Bibliography marked with an asterisk</li> <li>• If publications are submitted by way of an online hyperlink verify the links are functional</li> </ul>
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15. ☐ Academic Biography and Bibliography Packet

<input type="checkbox"/>	<ul style="list-style-type: none"> <li>• Updated to reflect new work completed during the review period</li> <li>• Do not include work completed after October 15<sup>th</sup></li> <li>• Verify "Line" placement is correct</li> <li>• Signed and dated by the employee/candidate</li> </ul>
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16. ☐ Sabbatical Leave Reports (IF APPLICABLE)

## 4. FILE PREPARATION CHECKLIST: AWARD OF BONUS OFF-SCALE COMPONENT

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

1. ☐ Recommendation Summary Form

<input type="checkbox"/>	Verify the following: <ul style="list-style-type: none"> <li>• “New Bonus Off-Scale” checked under Off-Scale Salary Actions</li> </ul>
<input type="checkbox"/>	“Present Status” and “Proposed Status” complete and consistent with department letter
<input type="checkbox"/>	Department vote results included and properly documented
<input type="checkbox"/>	Proper Department Chair signature approvals verified and documented

2. ☐ UC Academic Employment History

<input type="checkbox"/>	Appointment history listed and includes the following: <ul style="list-style-type: none"> <li>• Appointment Period (Dates)</li> <li>• Title and Step</li> <li>• Percent Time</li> <li>• Department</li> </ul>
<input type="checkbox"/>	Leave and Sabbatical history listed and includes the following: <ul style="list-style-type: none"> <li>• Periods without pay during the review period including dates</li> <li>• Complete sabbatical and leave history should be listed for candidate’s career</li> </ul>
<input type="checkbox"/>	Accelerated merit advancements should be annotated with an asterisk

3. ☐ Off-Scale Salary Slip (OPTIONAL)4. ☐ Departmental Recommendation Letter & Points of Discussion

<input type="checkbox"/>	Proposed status for which approvals are being requested to include: <ul style="list-style-type: none"> <li>• Title, Rank, &amp; Step</li> <li>• Salary</li> <li>• Effective Date</li> </ul>
<input type="checkbox"/>	Provide department standards for normal merit advancement
<input type="checkbox"/>	Bonus Off-Scale Component <ul style="list-style-type: none"> <li>• Reward extraordinary achievements in <u>one</u> or <u>two</u> of the criteria areas, i.e., research, teaching, and/or service</li> <li>• Verify bonus off-scale amount and calculations <ul style="list-style-type: none"> <li>○ Should equal to one half salary step</li> </ul> </li> <li>• Provide thorough justification when recommending award of, or policy exceptions for, a bonus off-scale salary</li> </ul>
<input type="checkbox"/>	Note conflicts of interest in the file. <ul style="list-style-type: none"> <li>• Ensure the file writer has not collaborated with the candidate in the past 5 years.</li> </ul>

## 4. FILE PREPARATION CHECKLIST: AWARD OF BONUS OFF-SCALE COMPONENT

<input type="checkbox"/>	<p>Evaluate the candidate's qualifications and effectiveness in the areas of research &amp; creative activity, teaching activities, and University and public service</p> <ul style="list-style-type: none"> <li>• Research &amp; Creative Activities <ul style="list-style-type: none"> <li>○ Describe and evaluate the research and other creative activity conducted during candidate's career and its impact his/her respective field</li> <li>○ Indicate journal and conference proceeding standings <ul style="list-style-type: none"> <li>▪ Indicate whether journals are refereed and their rate of acceptance/rejection</li> </ul> </li> <li>○ Discuss candidate's success in obtaining funding for research and other creative activities <ul style="list-style-type: none"> <li>▪ Indicate the candidate's grant-related roles</li> </ul> </li> </ul> </li> <li>• Teaching Activities <ul style="list-style-type: none"> <li>○ Discuss teaching effectiveness</li> <li>○ Discuss any problems in the area of teaching, and specify performance improvement plans</li> <li>○ Compare candidate's teaching load to normal departmental teaching load</li> </ul> </li> <li>• Service <ul style="list-style-type: none"> <li>○ Describe candidate's professional achievements</li> <li>○ Describe the nature and quality of the candidate's service contributions</li> </ul> </li> </ul>
<input type="checkbox"/>	<p>Department consultation and vote results</p> <ul style="list-style-type: none"> <li>• Include an explanation for negative votes, abstentions, and absences.</li> <li>• Verify the vote complies with policy <ul style="list-style-type: none"> <li>○ PPM 230-28 and Academic Senate Bylaw 55</li> </ul> </li> </ul>

5. ☐ Certification B

<input type="checkbox"/>	Signed and dated by the employee <b>AFTER</b> he/she reviews the Department Recommendation Letter
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6. ☐ Certification A

<input type="checkbox"/>	Signed and dated by the employee <b>AFTER</b> he/she reviews redacted department ad hoc/division and external referee letters
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7. ☐ Departmental Ad Hoc Report (WHERE APPLICABLE)

<input type="checkbox"/>	Signed by all committee members
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8. ☐ Candidate's Self Evaluation (OPTIONAL)9. ☐ Course load & Student Direction form (General Campus) or Teaching Quantification Form (Health Sciences) signed by the candidate

4. FILE PREPARATION CHECKLIST: AWARD OF BONUS OFF-SCALE COMPONENT

10. ☐ Teaching Evaluations

<input type="checkbox"/>	<ul style="list-style-type: none"><li>• Undergraduate (CAPE Evaluations), including student comments</li><li>• Graduate, including student comments</li><li>• Memo explaining any missing evaluations</li></ul>
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11. ☐ Copies of Publications

<input type="checkbox"/>	<p>Publications should be numbered to correspond with their entry on the Bibliography</p> <ul style="list-style-type: none"><li>• Verify consistency-numbered to correspond with Bibliography entry</li><li>• All new items in Section A of the bibliography should be submitted and the corresponding citation on the Bibliography marked with an asterisk</li><li>• If career review, all significant career pubs should be submitted and the corresponding citation on the Bibliography marked with an asterisk</li><li>• If publications are submitted by way of an online hyperlink verify the links are functional</li></ul>
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12. ☐ Academic Biography and Bibliography Packet

<input type="checkbox"/>	<ul style="list-style-type: none"><li>• Updated to reflect new work completed during the review period</li><li>• Do not include work completed after October 15<sup>th</sup></li><li>• Verify "Line" placement is correct</li><li>• Signed and dated by the employee/candidate</li></ul>
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13. ☐ Sabbatical Leave Reports (IF APPLICABLE)

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

<input type="checkbox"/>	Verify the following: <ul style="list-style-type: none"> <li>Reflects two parallel actions, one of which is a Career Equity Review (CER)</li> </ul>
<input type="checkbox"/>	"Present Status" and "Proposed Status" complete and consistent with department letter
<input type="checkbox"/>	Department vote results included and properly documented <ul style="list-style-type: none"> <li>Votes should be for two parallel actions, for a regular action and one for a CER</li> </ul>
<input type="checkbox"/>	Proper Department Chair signature approvals verified and documented

2. ☐ Departmental Recommendation Letter & Points of Discussion

<input type="checkbox"/>	Proposed status for which approvals are being requested to include: <ul style="list-style-type: none"> <li>Complete sabbatical and leave history should be listed for candidate's career</li> <li>Title, Rank, &amp; Step</li> <li>Salary</li> <li>Effective Date</li> </ul>
<input type="checkbox"/>	Career Equity <ul style="list-style-type: none"> <li>Must address candidate's overall record using criteria for the rank and step requested</li> <li>Provide thorough justification when recommending award of a bonus off-scale salary.</li> <li>Evaluate the candidate's qualifications and effectiveness in the areas of research &amp; creative activity, teaching activities and University and public service</li> <li>Discussion of faculty vote on regular action and CER action (two votes required)</li> </ul>

3. ☐ Candidate's Request for Career Equity Review

<input type="checkbox"/>	Requested rank and step <ul style="list-style-type: none"> <li>Justification for CER: 3 Possible Reasons <ul style="list-style-type: none"> <li>Cumulative record warrants acceleration even though no one particular review period did</li> <li>Rank and step at time of initial appointment was inappropriately low</li> <li>Particular work and contributions have been overlooked or undervalued by the department and/or other reviewing bodies</li> </ul> </li> </ul>
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4. ☐ Copy of Solicitation Letter to External Candidates

<input type="checkbox"/>	Verify solicitation letter included confidentiality disclosure statement <ul style="list-style-type: none"> <li>Include a list of referees to whom each solicitation was sent or an indication that the same letter was sent to all referees</li> </ul>
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5. FILE PREPARATION CHECKLIST: CAREER EQUITY REVIEW (CER)

5. ☐ Referee I.D. List

<input type="checkbox"/>	Verify solicitation letter included confidentiality disclosure statement <ul style="list-style-type: none"> <li>• Include a list of referees to whom each solicitation was sent or an indication that the same letter was sent to all referees</li> </ul>
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6. ☐ External Referee Letters

<input type="checkbox"/>	3 External Letters ( <b>MINIMUM</b> ) <ul style="list-style-type: none"> <li>• Verify external referees are independent</li> <li>• Verify the majority of external referees were selected by the department</li> <li>• 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)</li> </ul>
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7. ☐ Course load & Student Direction form (General Campus) or Teaching Quantification Form (Health Sciences) signed by the candidate

8. ☐ Teaching Evaluations

<input type="checkbox"/>	<ul style="list-style-type: none"> <li>• Undergraduate (CAPE Evaluations), including student comments</li> <li>• Graduate, including student comments</li> <li>• Memo explaining any missing evaluations</li> </ul>
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9. ☐ Copies of Publications

<input type="checkbox"/>	Publications should be numbered to correspond with their entry on the Bibliography <ul style="list-style-type: none"> <li>• Verify consistency-numbered to correspond with Bibliography entry</li> <li>• All new items in Section A of the bibliography should be submitted and the corresponding citation on the Bibliography marked with an asterisk</li> <li>• If career review, all significant career pubs should be submitted and the corresponding citation on the Bibliography marked with an asterisk</li> <li>• If publications are submitted by way of an online hyperlink verify the links are functional</li> </ul>
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10. ☐ Academic Biography and Bibliography Packet

<input type="checkbox"/>	<ul style="list-style-type: none"> <li>• Updated to reflect new work completed during the review period</li> <li>• Do not include work completed after October 15<sup>th</sup></li> <li>• Verify "Line" placement is correct</li> <li>• Signed and dated by the employee/candidate</li> </ul>
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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

<input type="checkbox"/>	Verify the following: <ul style="list-style-type: none"><li>• Endorses candidate's request provides justification for deferral</li><li>• Mentions whether request is for first or second deferral</li></ul>
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2. ☐ Candidate Request For Deferral

<input type="checkbox"/>	Memo detailing reasons for request <ul style="list-style-type: none"><li>• Work in Progress</li><li>• Leave/Sabbatical</li><li>• Other (Exceptions, Medical, Circumstances beyond Candidate's control, etc.)</li></ul>
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7. FILE PREPARATION CHECKLIST: NO CHANGE REQUEST

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

1. ☐ Recommendation Summary Form

<input type="checkbox"/>	Verify form is complete and consistent with department letter
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2. ☐ UC Academic Employment History

<input type="checkbox"/>	<p>Appointment history listed and includes the following:</p> <ul style="list-style-type: none"> <li>• Appointment Period (Dates)</li> <li>• Title and Step</li> <li>• Percent Time</li> <li>• Department</li> </ul>
<input type="checkbox"/>	<p>Leave and Sabbatical history listed and includes the following:</p> <ul style="list-style-type: none"> <li>• Periods without pay during the review period including dates</li> <li>• Complete sabbatical and leave history should be listed for candidate's career</li> </ul>
<input type="checkbox"/>	Accelerated merit advancements should be annotated with an asterisk

3. ☐ Off-Scale Salary Slip (OPTIONAL)

4. ☐ Departmental Recommendation Letter & Points of Discussion

<input type="checkbox"/>	<p>Proposed status for which approvals are being requested to include:</p> <ul style="list-style-type: none"> <li>• Complete sabbatical and leave history should be listed for candidate's career</li> <li>• Title, Rank, &amp; Step</li> <li>• Salary</li> <li>• Effective Date</li> </ul>
<input type="checkbox"/>	Provide department standard for normal merit advancement
<input type="checkbox"/>	Discuss specific plans for next advancement
	Provide thorough justification when recommending a bonus off-scale salary.
<input type="checkbox"/>	Include a re-engagement plan for candidates where this is their <b>SECOND OR MORE</b> consecutive No Change proposal related to "Insufficient Contributions".
<input type="checkbox"/>	<p>Note conflicts of interest in the file.</p> <ul style="list-style-type: none"> <li>• Ensure the file writer is not a candidate collaborator</li> </ul>

## 7. FILE PREPARATION CHECKLIST: NO CHANGE REQUEST

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

<input type="checkbox"/>	Signed and dated by the employee <b>AFTER</b> he/she reviews the Department Recommendation Letter
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6. ☐ Certification A

<input type="checkbox"/>	Signed and dated by the employee <b>AFTER</b> he/she reviews redacted department ad hoc/division and external referee letters
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7. ☐ Departmental Ad Hoc Report (WHERE APPLICABLE)

<input type="checkbox"/>	Signed by all committee members
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8. ☐ Candidate's Self Evaluation (OPTIONAL)9. ☐ Course load & Student Direction form (General Campus) or Teaching Quantification Form (Health Sciences) signed by the candidate10. ☐ Teaching Evaluations

<input type="checkbox"/>	<ul style="list-style-type: none"> <li>• Undergraduate (CAPE Evaluations), including student comments</li> <li>• Graduate, including student comments</li> <li>• Memo explaining any missing evaluations</li> </ul>
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**7. FILE PREPARATION CHECKLIST: NO CHANGE REQUEST**

**11. ☐ Copies of Publications**

<input type="checkbox"/>	<p>Publications should be numbered to correspond with their entry on the Bibliography</p> <ul style="list-style-type: none"><li>• Verify consistency-numbered to correspond with Bibliography entry</li><li>• All new items in Section A of the bibliography should be submitted and the corresponding citation on the Bibliography marked with an asterisk</li><li>• If career review, all significant career pubs should be submitted and the corresponding citation on the Bibliography marked with an asterisk</li><li>• If publications are submitted by way of an online hyperlink verify the links are functional</li></ul>
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**12. ☐ Academic Biography and Bibliography Packet**

<input type="checkbox"/>	<ul style="list-style-type: none"><li>• Updated to reflect new work completed during the review period</li><li>• Do not include work completed after October 15<sup>th</sup></li><li>• Verify "Line" placement is correct</li><li>• Signed and dated by the employee/candidate</li></ul>
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**13. ☐ Sabbatical Leave Reports (IF APPLICABLE)**

**UC SAN DIEGO-ACADEMIC PERSONNEL SERVICE**  
**8. FILE PREPARATION CHECKLIST: NORMAL MERIT**

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

**1. ☐ Recommendation Summary Form**

<input type="checkbox"/>	Verify the following: <ul style="list-style-type: none"> <li>• “Merit” checked</li> </ul>
<input type="checkbox"/>	“Present Status” and “Proposed Status” complete and consistent with department letter
<input type="checkbox"/>	Department vote results included and properly documented
<input type="checkbox"/>	Proper Department Chair signature approvals verified and documented

**2. ☐ UC Academic Employment History**

<input type="checkbox"/>	Appointment history listed and includes the following: <ul style="list-style-type: none"> <li>• Appointment Period (Dates)</li> <li>• Title and Step</li> <li>• Percent Time</li> <li>• Department</li> </ul>
<input type="checkbox"/>	Leave and Sabbatical history listed and includes the following: <ul style="list-style-type: none"> <li>• Periods without pay during the review period including dates</li> <li>• Complete sabbatical and leave history should be listed for candidate’s career</li> </ul>
<input type="checkbox"/>	Accelerated merit advancements should be annotated with an asterisk

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

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

<input type="checkbox"/>	Proposed status for which approvals are being requested to include: <ul style="list-style-type: none"> <li>• Title, Rank, &amp; Step</li> <li>• Salary</li> <li>• Effective Date</li> </ul>
<input type="checkbox"/>	Provide department standard for normal merit advancement
<input type="checkbox"/>	Provide thorough justification when recommending award of a bonus off-scale salary. <ul style="list-style-type: none"> <li>• Internationally recognized and acclaimed research</li> <li>• Discussion of candidate’s standing in his/her field to include international reputation</li> <li>• Excellent teaching performance and service</li> <li>• Demonstration of additional merit and distinction</li> </ul>
<input type="checkbox"/>	Note conflicts of interest in the file. <ul style="list-style-type: none"> <li>• Ensure the file writer has not collaborated with the candidate in the past 5 years.</li> </ul>
<input type="checkbox"/>	Department consultation and vote results <ul style="list-style-type: none"> <li>• Include an explanation for negative votes, abstentions, and absences.</li> <li>• Verify the vote complies with policy <ul style="list-style-type: none"> <li>○ PPM 230-28 and Academic Senate Bylaw 55</li> </ul> </li> </ul>

UC SAN DIEGO-ACADEMIC PERSONNEL SERVICE  
8. FILE PREPARATION CHECKLIST: NORMAL MERIT

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

<input type="checkbox"/>	Signed and dated by the employee <b>AFTER</b> he/she reviews the Department Recommendation Letter
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6. ☐ Certification A

<input type="checkbox"/>	Signed and dated by the employee <b>AFTER</b> he/she reviews redacted department ad hoc/division and external referee letters
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7. ☐ Departmental Ad Hoc Report (WHERE APPLICABLE)

<input type="checkbox"/>	Signed by all committee members
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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

<input type="checkbox"/>	<ul style="list-style-type: none"> <li>• Undergraduate (CAPE Evaluations), including student comments</li> <li>• Graduate, including student comments</li> <li>• Memo explaining any missing evaluations</li> </ul>
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UC SAN DIEGO-ACADEMIC PERSONNEL SERVICE  
8. FILE PREPARATION CHECKLIST: NORMAL MERIT

11. ☐ Copies of Publications

<input type="checkbox"/>	<p>Publications should be numbered to correspond with their entry on the Bibliography</p> <ul style="list-style-type: none"><li>• Verify consistency</li><li>• 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</li><li>• All significant career publications should be submitted and the corresponding citation of the Biography and Bibliography form marked with an asterisk</li><li>• If publications are submitted by way of an online hyperlink verify the links are functional</li></ul>
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12. ☐ Academic Biography and Bibliography Packet

<input type="checkbox"/>	<ul style="list-style-type: none"><li>• Updated to reflect new work completed during the review period</li><li>• Do not include work completed after October 15<sup>th</sup></li><li>• Verify "Line" placement is correct</li><li>• Signed and dated by the employee/candidate</li></ul>
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13. ☐ Sabbatical Leave Reports (IF APPLICABLE)

9. FILE PREPARATION CHECKLIST: PROMOTION TO ASSOCIATE RANK

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

1. ☐ **Recommendation Summary Form**

<input type="checkbox"/>	Verify the following: <ul style="list-style-type: none"> <li>• “Promotion” box is checked</li> <li>• Indicate whether it’s a Normal or Accelerated Promotion <ul style="list-style-type: none"> <li>○ If Promotion is “Accelerated” specify number of acceleration years</li> </ul> </li> </ul>
<input type="checkbox"/>	“Present Status” and “Proposed Status” complete and consistent with department letter
<input type="checkbox"/>	Department vote results included and properly documented
<input type="checkbox"/>	Proper Department Chair signature approvals verified and documented

2. ☐ **UC Academic Employment History**

<input type="checkbox"/>	Appointment history listed and includes the following: <ul style="list-style-type: none"> <li>• Appointment Period (Dates)</li> <li>• Title and Step</li> <li>• Percent Time</li> <li>• Department</li> </ul>
<input type="checkbox"/>	Leave and Sabbatical history listed and includes the following: <ul style="list-style-type: none"> <li>• Periods without pay during the review period including dates</li> <li>• Complete sabbatical and leave history should be listed for candidate’s career</li> </ul>
<input type="checkbox"/>	Accelerated merit advancements should be annotated with an asterisk

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

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

<input type="checkbox"/>	Proposed action-clarify if an accelerated promotion, or, a promotion with an accelerated merit. <ul style="list-style-type: none"> <li>• Title, Rank, &amp; Step</li> <li>• Salary</li> <li>• Effective Date</li> </ul>
<input type="checkbox"/>	Include department standard for promotion to tenure
<input type="checkbox"/>	Provide thorough justification when recommending award for a bonus off-scale salary.
<input type="checkbox"/>	Department consultation and vote results <ul style="list-style-type: none"> <li>• Include an explanation for negative votes, abstentions, and absences.</li> <li>• Verify the vote complies with policy <ul style="list-style-type: none"> <li>○ PPM 230-28 and Academic Senate Bylaw 55</li> </ul> </li> </ul>
<input type="checkbox"/>	Note conflicts of interest in the file. <ul style="list-style-type: none"> <li>• Ensure the file writer has not collaborated with the candidate in the past 5 years.</li> </ul>



## 9. FILE PREPARATION CHECKLIST: PROMOTION TO ASSOCIATE RANK

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

<input type="checkbox"/>	Signed and dated by the employee <b>AFTER</b> he/she reviews the Department Recommendation Letter
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6. ☐ Certification A

<input type="checkbox"/>	Signed and dated by the employee <b>AFTER</b> he/she reviews redacted department ad hoc/division and external referee letters
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7. ☐ Departmental Ad Hoc Report (WHERE APPLICABLE)

<input type="checkbox"/>	Signed by all committee members
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8. ☐ Candidate's Self Evaluation (OPTIONAL)9. ☐ Copy of Solicitation Letter to External Candidates

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

9. FILE PREPARATION CHECKLIST: PROMOTION TO ASSOCIATE RANK

11. ☐ External Referee Letters

<input type="checkbox"/>	<p>5 External Letters (<b>MINIMUM</b>)</p> <ul style="list-style-type: none"> <li>• Verify external referees are independent</li> <li>• Verify the majority of external referees were selected by the department</li> <li>• 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 <b>ALL</b> pages)</li> </ul>
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12. ☐ Course load & Student Direction form (General Campus) or Teaching Quantification Form (Health Sciences) signed by the candidate

13. ☐ Teaching Evaluations

<input type="checkbox"/>	<ul style="list-style-type: none"> <li>• Undergraduate (CAPE Evaluations), including student comments</li> <li>• Graduate, including student comments</li> <li>• Memo explaining any missing evaluations</li> </ul>
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14. ☐ Copies of Publications

<input type="checkbox"/>	<p>Publications should be numbered to correspond with their entry on the Bibliography</p> <ul style="list-style-type: none"> <li>• Verify consistency</li> <li>• 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</li> <li>• All significant career publications should be submitted and the corresponding citation of the Biography and Bibliography form marked with an asterisk</li> <li>• If publications are submitted by way of an online hyperlink verify the links are functional</li> </ul>
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15. ☐ Academic Biography and Bibliography Packet

<input type="checkbox"/>	<ul style="list-style-type: none"> <li>• Updated to reflect new work completed during the review period</li> <li>• Do not include work completed after October 15<sup>th</sup></li> <li>• Verify "Line" placement is correct</li> <li>• Signed and dated by the employee/candidate</li> </ul>
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16. ☐ Sabbatical Leave Reports (IF APPLICABLE)

UC SAN DIEGO-ACADEMIC PERSONNEL SERVICE  
10. FILE PREPARATION CHECKLIST: PROMOTION TO FULL RANK

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

1. ☐ **Recommendation Summary Form**

<input type="checkbox"/>	Verify the following: <ul style="list-style-type: none"><li>• “Promotion” box is checked</li><li>• Indicate whether it’s a Normal or Accelerated Promotion<ul style="list-style-type: none"><li>○ If Promotion is “Accelerated” specify number of acceleration years</li></ul></li></ul>
<input type="checkbox"/>	“Present Status” and “Proposed Status” complete and consistent with department letter
<input type="checkbox"/>	Department vote results included and properly documented
<input type="checkbox"/>	Proper Department Chair signature approvals verified and documented

2. ☐ **UC Academic Employment History**

<input type="checkbox"/>	Appointment history listed and includes the following: <ul style="list-style-type: none"><li>• Appointment Period (Dates)</li><li>• Title and Step</li><li>• Percent Time</li><li>• Department</li></ul>
<input type="checkbox"/>	Leave and Sabbatical history listed and includes the following: <ul style="list-style-type: none"><li>• Periods without pay during the review period including dates</li><li>• Complete sabbatical and leave history should be listed for candidate’s career</li></ul>
<input type="checkbox"/>	Accelerated merit advancements should be annotated with an asterisk

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

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

<input type="checkbox"/>	Proposed action-clarify if an accelerated promotion, or, a promotion with an accelerated merit. <ul style="list-style-type: none"><li>• Title, Rank, &amp; Step</li><li>• Salary</li><li>• Effective Date</li></ul>
<input type="checkbox"/>	Include department standards for promotion to full rank
<input type="checkbox"/>	Provide thorough justification when recommending award of a bonus off-scale salary.
<input type="checkbox"/>	Department consultation and vote results <ul style="list-style-type: none"><li>• Include an explanation for negative votes, abstentions, and absences.</li><li>• Verify the vote complies with policy<ul style="list-style-type: none"><li>○ PPM 230-28 and Academic Senate Bylaw 55</li></ul></li></ul>
<input type="checkbox"/>	Note conflicts of interest in the file. <ul style="list-style-type: none"><li>• Ensure the file writer has not collaborated with the candidate in the past 5 years.</li></ul>

## 10. FILE PREPARATION CHECKLIST: PROMOTION TO FULL RANK

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

<input type="checkbox"/>	Signed and dated by the employee <b>AFTER</b> he/she reviews the Department Recommendation Letter
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6. ☐ Certification A

<input type="checkbox"/>	Signed and dated by the employee <b>AFTER</b> he/she reviews redacted department ad hoc/division and external referee letters
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7. ☐ Departmental Ad Hoc Report (WHERE APPLICABLE)

<input type="checkbox"/>	Signed by all committee members
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8. ☐ Candidate's Self Evaluation (OPTIONAL)9. ☐ Copy of Solicitation Letter to External Candidates

<input type="checkbox"/>	<p>Verify solicitation letter included confidentiality disclosure statement</p> <ul style="list-style-type: none"> <li>• Include a list of referees to whom each solicitation was sent or an indication that the same letter was sent to all referees</li> </ul>
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10. FILE PREPARATION CHECKLIST: PROMOTION TO FULL RANK

10. ☐ Referee I.D. List

11. ☐ External Referee Letters

<input type="checkbox"/>	<p>3 External Letters (<b>MINIMUM</b>)</p> <ul style="list-style-type: none"> <li>• Verify external referees are independent</li> <li>• Verify the majority of external referees were selected by the department</li> <li>• 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 <b>ALL</b> pages)</li> </ul>
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12. ☐ Course load & Student Direction form (General Campus) or Teaching Quantification Form (Health Sciences) signed by the candidate

13. ☐ Teaching Evaluations

<input type="checkbox"/>	<ul style="list-style-type: none"> <li>• Undergraduate (CAPE Evaluations), including student comments</li> <li>• Graduate, including student comments</li> <li>• Memo explaining any missing evaluations</li> </ul>
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14. ☐ Copies of Publications

<input type="checkbox"/>	<p>Publications should be numbered to correspond with their entry on the Bibliography</p> <ul style="list-style-type: none"> <li>• Verify consistency</li> <li>• 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</li> <li>• All significant career publications should be submitted and the corresponding citation of the Biography and Bibliography form marked with an asterisk</li> <li>• If publications are submitted by way of an online hyperlink verify the links are functional</li> </ul>
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15. ☐ Academic Biography and Bibliography Packet

<input type="checkbox"/>	<ul style="list-style-type: none"> <li>• Updated to reflect new work completed during the review period</li> <li>• Do not include work completed after October 15<sup>th</sup></li> <li>• Verify "Line" placement is correct</li> <li>• Signed and dated by the employee/candidate</li> </ul>
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16. ☐ Sabbatical Leave Reports (IF APPLICABLE)

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**

<input type="checkbox"/>	Verify form is complete and consistent with department letter
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2. ☐ **UC Academic Employment History**

<input type="checkbox"/>	Appointment history listed and includes the following: <ul style="list-style-type: none"> <li>• Appointment Period (Dates)</li> <li>• Title and Step</li> <li>• Percent Time</li> <li>• Department</li> </ul>
<input type="checkbox"/>	Leave and Sabbatical history listed and includes the following: <ul style="list-style-type: none"> <li>• Periods without pay during the review period including dates</li> <li>• Complete sabbatical and leave history should be listed for candidate's career</li> </ul>
<input type="checkbox"/>	Accelerated merit advancements should be annotated with an asterisk

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

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

<input type="checkbox"/>	Proposed action-clarify if an accelerated promotion, or, a promotion with an accelerated merit. <ul style="list-style-type: none"> <li>• Title, Rank, &amp; Step</li> <li>• Salary</li> <li>• Effective Date</li> </ul>
<input type="checkbox"/>	Discuss importance of retaining candidate, effect of loss on the department
<input type="checkbox"/>	Discuss how the outside institution compares to UCSD
<input type="checkbox"/>	Provide thorough justification when recommending the award of, or increase to, a market off-scale salary
<input type="checkbox"/>	Note conflicts of interest in the file. <ul style="list-style-type: none"> <li>• Ensure the file writer has not collaborated with the candidate in the past 5 years.</li> </ul>

## 11. FILE PREPARATION CHECKLIST: RETENTION &amp; PRE-EMPTIVE RETENTION

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

<input type="checkbox"/>	<p>Copy of outside offer for retentions or letter of credible evidence of outside interest if a pre-emptive retention</p> <ul style="list-style-type: none"> <li>• If offer is <b>FOREIGN</b>, convert currency to US Dollars and convert to an academic year salary.</li> </ul>
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6. ☐ Certification B

<input type="checkbox"/>	Signed and dated by the employee <b>AFTER</b> he/she reviews the Department Recommendation Letter
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7. ☐ Certification A

<input type="checkbox"/>	Signed and dated by the employee <b>AFTER</b> he/she reviews redacted department ad hoc/division and external referee letters
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8. ☐ Departmental Ad Hoc Report

<input type="checkbox"/>	<p><b>*REQUIRED IF RETENTION/PRE-EMPTIVE RETENTION COUPLED WITH A REVIEW ACTION</b>  <b>*OPTIONAL FOR REVIEWED CONSISTING OF A MARKET OFF-SCALE SALARY ONLY</b></p> <ul style="list-style-type: none"> <li>• Signed by all committee members</li> </ul>
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9. ☐ Candidate's Self Evaluation

<input type="checkbox"/>	<p><b>*REQUIRED IF RETENTION/PRE-EMPTIVE RETENTION COUPLED WITH A REVIEW ACTION</b>  <b>*OPTIONAL FOR REVIEWED CONSISTING OF A MARKET OFF-SCALE SALARY ONLY</b></p>
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11. FILE PREPARATION CHECKLIST: RETENTION & PRE-EMPTIVE RETENTION

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

<input type="checkbox"/>	<b><i>*REQUIRED IF RETENTION/PRE-EMPTIVE RETENTION COUPLED WITH A REVIEW ACTION</i></b> <b><i>*OPTIONAL FOR REVIEWED CONSISTING OF A MARKET OFF-SCALE SALARY ONLY</i></b>
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11. ☐ Teaching Evaluations

<input type="checkbox"/>	<b><i>*REQUIRED IF RETENTION/PRE-EMPTIVE RETENTION COUPLED WITH A REVIEW ACTION</i></b> <b><i>*OPTIONAL FOR REVIEWED CONSISTING OF A MARKET OFF-SCALE SALARY ONLY</i></b> <ul style="list-style-type: none"> <li>• Undergraduate (CAPE Evaluations), including student comments</li> <li>• Graduate, including student comments</li> <li>• Memo explaining any missing evaluations</li> </ul>
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12. ☐ Copies of Publications

<input type="checkbox"/>	<b><i>*REQUIRED IF RETENTION/PRE-EMPTIVE RETENTION COUPLED WITH A REVIEW ACTION</i></b> <b><i>*OPTIONAL FOR REVIEWED CONSISTING OF A MARKET OFF-SCALE SALARY ONLY</i></b> <ul style="list-style-type: none"> <li>• Publications should be numbered to correspond with their entry on the Bibliography</li> <li>• Verify consistency</li> <li>• 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</li> <li>• All significant career publications should be submitted and the corresponding citation of the Biography and Bibliography form marked with an asterisk</li> <li>• If publications are submitted by way of an online hyperlink verify the links are functional</li> </ul>
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13. ☐ Academic Biography and Bibliography Packet

<input type="checkbox"/>	<ul style="list-style-type: none"> <li>• Updated to reflect new work completed during the review period</li> <li>• Do not include work completed after October 15<sup>th</sup></li> <li>• Verify "Line" placement is correct</li> <li>• Signed and dated by the employee/candidate</li> </ul>
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14. ☐ Sabbatical Leave Reports (IF APPLICABLE)



**12. FILE PREPARATION CHECKLIST: MERIT ADVANCEMENT TO/THROUGH STEP VI****\*NOTE-DOCUMENTS ARE LISTED IN ORDER OF INCLUSION FROM BEGINNING TO END****1. ☐ Recommendation Summary Form**

<input type="checkbox"/>	Verify the following: <ul style="list-style-type: none"> <li>• “Advancement to/through Step VI” box is checked</li> <li>• Indicate whether it’s a Normal or Accelerated Advancement”             <ul style="list-style-type: none"> <li>○ If Advancement is “Accelerated,” specify number of acceleration years</li> </ul> </li> </ul>
<input type="checkbox"/>	“Present Status” and “Proposed Status” complete and consistent with department letter
<input type="checkbox"/>	Department vote results included and properly documented
<input type="checkbox"/>	Proper Department Chair signature approvals verified and documented

**2. ☐ UC Academic Employment History**

<input type="checkbox"/>	Appointment history listed and includes the following: <ul style="list-style-type: none"> <li>• Appointment Period (Dates)</li> <li>• Title and Step</li> <li>• Percent Time</li> <li>• Department</li> </ul>
<input type="checkbox"/>	Leave and Sabbatical history listed and includes the following: <ul style="list-style-type: none"> <li>• Periods without pay during the review period including dates</li> <li>• Complete sabbatical and leave history should be listed for candidate’s career</li> </ul>
<input type="checkbox"/>	Accelerated merit advancements should be annotated with an asterisk

**3. ☐ Off-Scale Salary Calculation Slip (OPTIONAL)****4. ☐ Departmental Recommendation Letter & Points of Discussion**

<input type="checkbox"/>	State the proposed: <ul style="list-style-type: none"> <li>• Title, Rank, &amp; Step</li> <li>• Salary</li> <li>• Effective Date</li> </ul>
<input type="checkbox"/>	Include department standards for merit advancement to Step V
<input type="checkbox"/>	Step VI <ul style="list-style-type: none"> <li>• Evidence of:             <ul style="list-style-type: none"> <li>○ Highly distinguished scholarship</li> <li>○ Excellent University teaching</li> <li>○ Highly meritorious service</li> </ul> </li> </ul>
<input type="checkbox"/>	Provide thorough justification when recommending award of a bonus off-scale salary.
<input type="checkbox"/>	Department consultation and vote results <ul style="list-style-type: none"> <li>• Include an explanation for negative votes, abstentions, and absences.</li> <li>• Verify the vote complies with policy             <ul style="list-style-type: none"> <li>○ PPM 230-28 and Academic Senate Bylaw 55</li> </ul> </li> </ul>
<input type="checkbox"/>	Note conflicts of interest in the file. <ul style="list-style-type: none"> <li>• Ensure the file writer has not collaborated with the candidate in the past 5 years.</li> </ul>

## 12. FILE PREPARATION CHECKLIST: MERIT ADVANCEMENT TO/THROUGH STEP VI

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

<input type="checkbox"/>	Signed and dated by the employee <b>AFTER</b> he/she reviews the Department Recommendation Letter
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6. ☐ Certification A

<input type="checkbox"/>	Signed and dated by the employee <b>AFTER</b> he/she reviews redacted department ad hoc/division and external referee letters
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7. ☐ Departmental Ad Hoc Report (WHERE APPLICABLE)

<input type="checkbox"/>	Signed by all committee members
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8. ☐ Candidate's Self Evaluation (OPTIONAL)9. ☐ Copy of Solicitation Letter to External Candidates (OPTIONAL)

<input type="checkbox"/>	<p>Verify solicitation letter included confidentiality disclosure statement</p> <ul style="list-style-type: none"> <li>• Include a list of referees to whom each solicitation was sent or an indication that the same letter was sent to all referees</li> </ul>
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**12. FILE PREPARATION CHECKLIST: MERIT ADVANCEMENT TO/THROUGH STEP VI**

10. ☐ Referee I.D. List (OPTIONAL)

11. ☐ External Referee Letters (OPTIONAL)

<input type="checkbox"/>	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 <b>ALL</b> pages)
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12. ☐ Course load & Student Direction form (General Campus) or Teaching Quantification Form (Health Sciences) signed by the candidate

13. ☐ Teaching Evaluations

<input type="checkbox"/>	<ul style="list-style-type: none"> <li>• Undergraduate (CAPE Evaluations), including student comments</li> <li>• Graduate, including student comments</li> <li>• Memo explaining any missing evaluations</li> </ul>
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14. ☐ Copies of Publications

<input type="checkbox"/>	<p>Publications should be numbered to correspond with their entry on the Bibliography</p> <ul style="list-style-type: none"> <li>• Verify consistency</li> <li>• 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</li> <li>• All significant career publications should be submitted and the corresponding citation of the Biography and Bibliography form marked with an asterisk</li> <li>• If publications are submitted by way of an online hyperlink verify the links are functional</li> </ul>
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15. ☐ Academic Biography and Bibliography Packet

<input type="checkbox"/>	<ul style="list-style-type: none"> <li>• Updated to reflect new work completed during the review period</li> <li>• Do not include work completed after October 15<sup>th</sup></li> <li>• Verify "Line" placement is correct</li> <li>• Signed and dated by the employee/candidate</li> </ul>
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16. ☐ Sabbatical Leave Reports (IF APPLICABLE)