

# Guide to Preparing and Submitting Academic Appointment Files

|  |    |
|--|----|
| <a href="#">Introduction</a>   | 2  |
| <a href="#">Before preparing an appointment file</a>   | 2  |
| <a href="#">Preparing an appointment file</a>  | 3  |
| A. <a href="#">Items included in an appointment file</a>   | 3  |
| 1. <a href="#">UCSD Summary of Appointment Recommendation form</a>                               | 3  |
| 2. <a href="#">UC academic employment history</a>  | 4  |
| 3. <a href="#">Departmental recommendation letter</a>  | 5  |
| 4. <a href="#">Department chair's personal assessment</a>  | 6  |
| 5. <a href="#">Certification forms</a>   | 6  |
| 6. <a href="#">Departmental search committee and/or ad hoc committee report</a>                  | 6  |
| 7. <a href="#">Candidate's personal statement</a>  | 6  |
| 8. <a href="#">Solicitation letter to external referees</a>                                      | 6  |
| 9. <a href="#">Identification and Qualifications of External Referees form</a>                   | 8  |
| 10. <a href="#">External referee letters</a>   | 8  |
| 11. <a href="#">Teaching evaluations</a>   | 9  |
| 12. <a href="#">Level of Administrative Responsibility form</a>                                  | 9  |
| 13. <a href="#">UCSD Academic Biography and Bibliography packet</a>                              | 9  |
| B. <a href="#">Items that accompany an appointment file</a>                                      | 10 |
| 1. <a href="#">Approved Recruitment Selection Report and Compliance Report or waiver request</a> | 10 |
| 2. <a href="#">Publications (or comparable items)</a>  | 10 |
| <a href="#">Submitting an appointment file</a>   | 10 |
| <a href="#">Review process after a file is submitted</a>   | 10 |
| <a href="#">Implementing an approved appointment</a>   | 11 |

## **Introduction**

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An appointment file is prepared when an individual is proposed for employment in a University academic series, or when a UCSD academic appointee changes to a different academic series. Following appointment, all academic appointees are subject to review for advancement on a regular basis—generally, every two, three, or four years, as prescribed in policy.

These instructions provide information on how to prepare an appointment file for a permanent appointment, with links to the forms and examples mentioned. This material assumes that you are familiar with UCSD Policy and Procedure Manual [Section 230-20](#), the UCSD academic appointment policy.

Other resources to assist you in the preparation of appointment files are available under [“Appointment and Review Process”](#) on the Academic Personnel Web site, including:

- Tips on preparation of academic files—pointers and reminders (updated annually) based on the problems most commonly seen in appointment and review files
- A glossary of academic personnel terms
- Definitions of off-scale salary terms
- An appointment worksheet—a handy checklist of items that must be included in files

Academic Personnel also provides courses on preparing academic appointment files and other relevant topics. Information on Academic Personnel courses is available at [Enrollment Central](#) (see “Browse Course Catalog”).

## **Points to consider before preparing an appointment file**

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**Recruitment.** Before an appointment file is prepared, a candidate for appointment must be identified via an academic recruitment, or a waiver of the recruitment process must be obtained. The Office of Academic Diversity and Equal Opportunity provides information on recruitments, including [“A Guide to Conducting an Open Recruitment and Preparing the Related Reporting Forms.”](#) on the Academic Affairs Web site. It is important to ensure that all appropriate steps and paperwork are completed before preparing an academic appointment file.

**Soliciting External Referee Letters.** All appointment files must include evaluation letters from external referees. It is important to solicit external referee evaluations well in advance of preparing the appointment file so that delays in file submission can be avoided.

**Timely Submission.** It is the department’s responsibility to submit an appointment file far enough in advance to allow for completion of the review process prior to the proposed effective date of the appointment.

Due to the degree of urgency that often accompanies new appointments, preparing a complete and accurate file is critical to avoid delays. Notify your dean’s office as soon as you are aware of a potential new appointment. Providing your dean’s office advance notice of pending appointment files may help expedite processing of the files.

**UC Campus and AAU Deadlines.** It is important to keep in mind that UC policy requires offers

of academic appointments to be made prior to April 1 to faculty at other UC campuses, and prior to May 1 to faculty at institutions that are members of the Association of American Universities, if the appointments are to be effective the following academic year. This is required as a courtesy to other institutions so that they can plan accordingly (e.g., in making fall teaching assignments).

**Effective Date.** An academic appointment may become effective only *after* it is approved in writing by the appropriate approval authority. Under no circumstances may a candidate begin work at UCSD before his or her appointment is approved.

Academic-year appointments must be effective at the beginning of quarterly pay periods (i.e., July 1 for fall quarter; November 1 for winter quarter; March 1 for spring quarter). Fiscal-year appointments may be effective on any date, preferably the first day of a month.

If an appointment that represents a series change coincides with an advancement (for example, a change from the Adjunct Professor series to the Professor in Residence series, coupled with a merit advancement), the advancement must be effective on July 1, regardless of the effective date of the proposed new appointment.

## **Preparing an appointment file**

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### **A. Items included in an appointment file**

The following documents should be presented in an appointment file in the order listed below. All documents received and reviewed by departmental reviewers, including departmental ad hoc committee reports 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.

#### **1. UCSD Summary of Appointment Recommendation form**

The [Summary of Appointment Recommendation](#) must be placed at the front of each appointment file. This makes it possible to see at a glance the details of the departmental recommendation, and it also aids in orderly assessment of the file by reviewers.

1. **Date:** Provide the date the Summary is prepared.
2. **Name:** Provide candidate's full name, including middle name or initial.
3. **College:** Leave this blank; the college affiliation will be assigned by the Council of Provosts if applicable. (College affiliations are assigned to eligible General Campus faculty only. College affiliations are not assigned to School of Medicine, Skaggs School of Pharmacy and Pharmaceutical Sciences, or Scripps Institution of Oceanography faculty.)
4. **Highest degree/institution/year:** Provide the candidate's highest earned degree, the name of the institution where the degree was earned, and the year it was earned. This information is typically available on the Biography and Bibliography form or the candidate's CV.
5. **Appointing department:** If the candidate is proposed for appointment in more

than one department, list both—e.g.: 1) Dept. of History; 2) Dept. of Political Science.

6. **Begin date:** An appointment begin date cannot be retroactive.
7. **End date:** If the appointment has an end date, it must be specified. If the appointment is with tenure, enter “tenure” in lieu of an end date. If appointment is not tenured, but the appointment period is indefinite, enter “indefinite.” Note: All assistant-level appointments must have end dates.
8. **Present status:** Enter the candidate’s current institution and title, and his or her salary if known.
9. **Proposed status:** If the candidate is proposed for appointment in more than one department, or in more than one title in the same department, list the rank and step (status) for each position—e.g., 1) Professor, Step II; 2) Adjunct Professor, WOS. Also enter the title code, percentage of time, and salary for each. If applicable, note that the position is without salary (WOS) or that the salary is off-scale: e.g., \$73,200 (OS).
10. **Salary scale:** Indicate the scale used (e.g., 10/1/07).
11. **Basis:** Indicate whether the salary is paid on a fiscal-year (12-month) or academic-year (9-month) basis.
12. **FTE tracking number:** Indicate the FTE identification number issued by the dean’s office to track open positions/staffing provisions.
13. **Vote:** Indicate the breakdown of department, division, and/or institution vote (i.e., the number who voted for and against the appointment, and the number who abstained from voting or were absent, if any).
14. **Years toward 8-year limit:** If the appointment is subject to an 8-year limit, the dean’s office will fill in this section.

## 2. UC Academic Employment History

A [UC Academic Employment History](#) must be included if the proposed appointee has had previous UC academic employment, including service at another UC campus. The employment history should show periods of service and the title, step, percentage of time, and department for each period. The employment history should cover the candidate’s entire period of academic employment at UC. If the candidate has ever received an accelerated advancement, indicate this with an asterisk in the margin next to the period of service in which the acceleration took effect. Also be sure to show periods of leave, including sabbaticals and leaves without pay. Salary information should not be listed.

## 3. Departmental Recommendation Letter

The departmental recommendation letter presents the department's reasons for the candidate’s proposed appointment. It should be based on an evaluation of the appointee

by all eligible members of the department, and it should be addressed to the administrator with approval authority for the action proposed, as specified in the Authority and Review Chart (available under "[Appointment and Review Process](#)" on the Academic Personnel Web page).

For joint appointments, the chairs of both departments should submit letters of recommendation or should co-sign 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.

Specifically, the letter should include:

- a. The proposed title, rank, step, salary, effective date(s) of appointment, and any funding contingencies. These should be specified in the first paragraph.
- b. A brief description of the open recruitment conducted by the department for the position, or a description of the waiver request, and an explanation of how the candidate was selected. Note that other applicants should *not* be identified, 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 for the series as specified in PPM 230-20, including justification for a market off-scale salary component, if applicable.
- d. A report on the consultation 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, verify that a complete file was presented for voting members' consideration, and present the results of the vote taken, including the reasons for any negative votes, if known (if unknown, this should be stated). The department is required to document in the appointment file the membership of the departmental ad hoc committee (see below), but the departmental recommendation letter should not mention committee members' names.
- e. A thorough evaluation of the candidate's qualifications in accordance with the specific criteria established for the proposed series. This may include (as applicable) 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 an assessment of his or her professional reputation in the academic community.
- f. A summary of the external referees' assessment of the candidate. 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.
- g. A description of the candidate's expected role in the department, including (as applicable) research to be conducted; contributions to the department's instructional mission at both the undergraduate and graduate levels; and a description of the department's teaching needs and of how the candidate's teaching will help meet those needs.

#### **4. Department chair's personal assessment**

If the department chair disagrees with the departmental recommendation, which must be based upon evaluation of the appointee by all eligible members of the department, the chair may write an independent assessment to be included in the file.

#### **5. Certification forms**

Certifications A and B are required only for current UC employees (candidates with appointments in other academic series at UCSD or those transferring from other UC campuses). [Certification A](#) should be signed *after* the file is complete, and *before* the file is evaluated by a departmental ad hoc committee and/or department faculty. [Certification B](#) should be signed *after* the departmental recommendation has been determined. 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 file review process, and that the candidate understands their significance. Certification B is placed in the file in front of Certification A.

#### **6. Departmental search committee and/or ad hoc committee report**

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

Departmental search committee membership (if any) should be indicated in the file; if a written, signed report is not provided, committee membership should be included as an addendum to the Identification and Qualifications of External Referees form (see below).

If an ad hoc committee advises the department, its recommendation becomes part of the appointment file. A signed copy of the ad hoc committee report, with full membership indicated at the end of the report, 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.

#### **7. Candidate's personal statement**

If the candidate provides a personal statement (which is optional) regarding his or her academic achievements and future plans, this document should be so titled, and it must be signed and dated.

#### **8. Solicitation letter to external referees**

##### Background

Letters from external referees evaluating candidates' accomplishments, stature, and/or potential are required for all appointments and are an extremely important part of any appointment file. Adherence to the following guidelines will prevent delays in file processing.

Number of letters required:

- Three for appointment at the Assistant level, or as Lecturer with Potential Security of Employment
- Five for appointment at the Associate or Full level, or as Senior Lecturer with Potential Security of Employment, Lecturer with Security of Employment, or Senior Lecturer with Security of Employment
- Three for appointment as Academic Administrator or Academic Coordinator

Selection of external referees:

Careful selection of external referees is very important. The department chair should solicit evaluations from individuals who are independent of the candidate, who are expert in the candidate's field, and who are able to provide an objective appraisal of the candidate's work. When possible, letters should be included from those who know candidates only through their work.

Use of external referees whom reviewers may not regard as objective or independent evaluators, either because they are too close to the candidate professionally (e.g., collaborators, thesis supervisors, etc.) or because they have a personal relationship with the candidate, is discouraged. However, they may be included if they are able to shed light on collaborations. Non-independent letters do not count toward the minimum number of required external letters.

For Assistant-level appointments proposed at Step I or II, letters from the candidate's mentors and others at the home institution are acceptable; however, additional letters from more independent sources should be obtained if possible.

For Assistant-level appointments proposed at Step III or higher, and for all appointments at the Associate or Full level, letters should be from external referees who are senior scholars (Associate level or higher) and are independent of the candidate. If external referees are not senior scholars or are not independent of the candidate, the department should explain on the Referee I.D. form (see #9 below) why they were selected as the best-qualified referees.

The department chair must give the candidate the opportunity to suggest names of persons to be solicited for letters of evaluation. Other names should be added to this list by the department chair in consultation with a departmental review committee. Normally, no more than one out of three external letters (when three are required for the file) or two out of five (when five are required for the file) should be from referees selected solely by the candidate. This level may be exceeded if the candidate's list includes all of the recognized experts in the field. Candidates should not solicit their own evaluation letters.

Preparation of solicitation letters

[Examples of solicitation letters](#) to prospective external referees are available on the Academic Personnel Web page.

Solicitation letters must include appropriate wording describing the proposed action and

explaining to external referees the nature of the position to be filled—e.g., tenured or non-tenured—and the criteria required for appointment to that position. For appointment to tenure and to the top steps of the Professor series (VI, VII, VIII, IX, and Above Scale), the solicitation letter should explain the significance of these steps so that referees can evaluate the candidate's achievements in relation to UCSD's criteria for appointment.

Referees should be urged to provide an objective and analytical evaluation with specific comments about the candidate's abilities and accomplishments, rather than merely a testimonial summary.

Solicitation letters must include the University's confidentiality statement, which is provided within each of the sample solicitation letters.

External letters may be solicited and received electronically, but they must be submitted with an e-mail from the referee as evidence of authenticity.

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 recipients should be indicated on each version.

## **9. Identification and Qualifications of External Referees form**

[The Identification and Qualifications of External Referees form](#) (informally called the Referee ID form) 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 reply, and it should be indicated whether they were selected by the department or by the candidate.

## **10. External referee letters**

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

Letters should be coded to correspond to the Referee ID form (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.)

The department should provide typed versions of any handwritten letters received; both the handwritten and typed versions of the letter must be included in the file.

Typed translations of letters written in foreign languages must be included in the file, along with the original, untranslated versions. At the end of the translation, the translator must be identified by name and position held. Candidates may not serve as translators for letters solicited for their appointment files.

### Unsolicited letters of evaluation

Unsolicited letters of evaluation that are added to the file by the candidate are not considered confidential.

Unsolicited letters received by the department but NOT added to the file by the candidate may be included in the file at the department chair's discretion. These letters are considered confidential. Before including such a letter in the appointment file, the department chair must send the University's confidentiality statement to the letter writer and obtain a signed or electronic authorization to use the unsolicited letter in the file. The authorization, the unsolicited letter, and the department chair's letter transmitting the confidentiality statement should be included in the file.

## **11. 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 teaching evaluations. If the candidate has no teaching experience, the departmental letter soliciting external letters should request an assessment of the candidate's potential teaching effectiveness.

## **12. Level of Administrative Responsibility (LAR) form**

The [Level of Administrative Responsibility \(LAR\)](#) form is only used for 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.

## **13. UCSD Academic Biography and Bibliography packet**

The biography portion of the UCSD [Academic Biography and Bibliography packet](#) must be filled out, but (for appointment files only) a curriculum vitae (CV) with an annotated publication list may be submitted in lieu of a UCSD review-format bibliography. The biography 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.

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

*Note: For Visiting faculty, there must be some written indication from the candidate of his or her salary at the home institution; a signed Biography and Bibliography packet containing this information meets this requirement.*

## **B. Items that accompany an appointment file**

### **1. Approved Recruitment Selection Report and Compliance Report or waiver request**

These forms are completed during the recruitment process. They accompany but are not included as part of the appointment file. For further information, see ["A Guide to](#)

## [Conducting an Open Recruitment and Preparing the Related Reporting Forms.](#)

### 2. 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. Films, CDs, and other items may be submitted in addition to or instead of published works, as appropriate for the candidate's discipline.

## **Submitting an appointment file**

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Completed appointment files should be submitted as follows:

- General Campus: For Research Scientist, Project Scientist, or Specialist appointments, submit files to the Office of Research Affairs. Submit other files to the divisional or school dean's office.
- Scripps Institution of Oceanography: Submit files to the SIO Academic Personnel Office.
- School of Medicine: Submit files to the Academic Affairs Office, School of Medicine.

The original file and two copies should be submitted for appointments in the Professor (ladder-rank), Professor In Residence, Professor of Clinical X, and Adjunct Professor series.

The original and one copy should be submitted for appointments in the Health Sciences Clinical Professor, Lecturer with Security of Employment, Professional Research (Research Scientist), Project Scientist, Specialist, Academic Administrator, and Academic Coordinator series.

## **Review process after a file is submitted**

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After an appointment file is submitted, it is routed to various reviewers as indicated in the Authority and Review Chart. These vary somewhat among the General Campus, SIO, and SOM, but for appointments they may include the divisional or school dean, the Council of Provosts, the Committee on Academic Personnel (CAP), the Project Scientist and Specialist Review Panel (PSSRP) or Academic Administrator and Academic Coordinator Review Panel (AARP), and the Senior Vice Chancellor for Academic Affairs. The administrator with final approval authority is also indicated in the Authority and Review Chart. Descriptions of CAP, PSSRP, and AARP are available under ["Appointment and Review Process"](#) on the Academic Personnel Web page.

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

- A request for additional information

The department chair may receive a request for additional information or clarification

of information for a particular file. The request will indicate the date by which the department should respond (usually two or three weeks from the date of the request). The department should notify the appointing authority in writing if additional time is needed to respond to the request. If the candidate is an existing UC academic employee, he or she must sign Certification C to acknowledge that new material has been added to the appointment file. This certification is not required if the candidate is not already a UC academic employee. Once the requested material has been added to the file, the file is re-routed to reviewers for further evaluation and comment.

- A preliminary assessment

If reviewers' recommendations differ from the departmental recommendation, a preliminary assessment is sent to the department. This will indicate the date by which the department should respond (usually two or three weeks from the date of the letter). The department should notify the appointing authority in writing if additional time is needed to respond to the preliminary assessment. The department may choose to accept the preliminary assessment or to challenge it. In either case, the department must respond in writing, and if the candidate is an existing UC academic employee, he or she must sign Certification C to acknowledge that new material has been added to the appointment file. This certification is not required if the candidate is not already a UC academic employee. Once the requested material has been added to the file, the file is re-routed to reviewers for further evaluation and comment.

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

If the proposed appointment is approved, an offer letter from the appointing authority is prepared, and the candidate is asked to sign and return a copy to indicate acceptance.

## **Implementing an approved appointment**

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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 the Payroll Personnel System (PPS), the department should complete all [required payroll forms](#). Immediately following PPS entry, appropriate payroll forms must be forwarded to the Payroll Office.