CHECKLIST FOR REVIEW FILES

Academic Personnel Review Procedures for Senate Faculty (referred to as The CALL) is the official guideline for our campus and outlines procedures to be used during the review process. This checklist has been developed in response to the UCR Academic Personnel Task Force findings and recommendations in order to achieve a more efficient review process and eliminate duplicate review. As recommended by the task force committee, responsibility for accuracy is returned to the department with the college acting as the reviewer. Academic Personnel will only review specific areas as indicated in the checklist, with an emphasis on procedural violations if undetected at the college level of review.

Documents	Tasks M = Mandatory O = Optional	Dept.	College	APO
Pre-Review Deliverables				
Eligibility List (2016-17 CALL, page 7-8) Note: this process will change once the redesign of ACAPER has been completed and implemented.	Preliminary Eligibility Listings made available from the college to departments and APO staff early to mid-June each academic year. Instruction memos to departments included with list.	-	M	-
	Provide Eligibility List (from AP database) from APO to AP Deans' Staff for verification by the end of July.	-	-	M
	Finalized Eligibility Listings made available from the college to departments and APO by early August each academic year after confirmation of additional files forward (i.e., promotions, accelerations, open steps, advancement to Prof VI and advancement to or within A/S, deferrals, etc.).	-	M	-
	Provide Eligibility List to CAP Analyst by 1st Monday in October.	-	-	M
By-Law 55 & Department Voting Rights (2016-17 CALL, page 6)	Provide copies of department voting policies and procedures to the Academic Senate Office. Academic Senate provides copies to the Colleges and the Academic Personnel Office by November 1st each year.	M	-	-
	Department determines total number of faculty eligible to vote, by rank (annually).	M	-	-
	The above is verified by the Dean's Office	-	M	-
General				
Extensions (2016-17 CALL, page 6-7)	Requires a reason and estimated date the file will be in the Dean's Office. If applicable, extension for any solicited letters. Request forwarded to VPAP for approval.	M	M	-
	Response to request (approved or denied) with copy to Academic Senate. Extensions past 1st Monday in May require CAP approval.	-	-	M
Miscellaneous	Verify that the original copy and any paper copies are identical. N/A for eFile.	M	M	-
	Verify that publications are available for Promotions and Advancements to Above Scale. Publications can be a paper copy, CD, or if eFile, uploaded in PDF format.	M	-	-
	Determine the period of review for the recommended action. For paper files, headers indicating the period of review should be included for Professional Activity & Service, University & Public Service, and Grant Activity (this will be automatic for eFile).	M	M	-
Review File Documents				
Checklists (2016-17 CALL, pages 44-61 (?))	Confirm that the correct checklist is used per the CALL. N/A for eFile.	M	M	-
	Confirm that all materials that are marked on the checklist are present. N/A for eFile.	M	M	M
	Verify that the Conflict of Commitment Report (Attachment C-9) has been signed by the candidate and is included in the file before forwarding to the next reviewing body.	M	M	M
	For files requiring solicited letters, ensure the number of letters is indicated on the line where it is asked for (not just checked off).	M	M	-
	Check to ensure material listed under "other" is actually in the file.	M	M	M
	Verify Chair's initial and date and record tracking dates.	M	M	M

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Review File Documents				
Procedural Safeguard Form - Part I & II (2016-17 CALL, page 46-47)	Section I is complete and signed by candidate and chair.	M	M	M
	The date for receipt of extramural letters and student letters and other confidential is filled in.	M	-	-
	Section II is complete and signed where appropriate.	M	M	M
	Name must be printed on top of page.	M	-	-
	Part B-2 is completed and signed after any changes to the file. If there is a change to the departmental letter, Part C has been completed.	M	M	M
	Part B-2 - itemized corrections should not contain any confidential information.	M	M	M
Chair's Letter (2016-17 CALL, page 31)	All "facts" are documented in the file and are accurate.	M	M	M
	For eFile, the Chair's letter is uploaded in the Dean's Office.	-	M	-
	Check that the department used the template from The Call and that the letter is signed and dated.	M	M	-
	Check that the appropriate actions been identified (i.e., lateral promotion, acceleration, etc.)	M	M	M
	Check that the number of faculty eligible to vote on the file is stated and confirm the number of votes.	M	M	-
	The vote count is correct. Abstentions have been recorded appropriately.	M	M	M
	The current rank and step and time spent at such are correct (including off-scale if applicable).	M	M	M
	The proposed rank and step is stated (including off-scale if applicable). For a negative recommendation, the action voted on is recorded.	M	M	M
Department Letter (2016-17 CALL, page 32) (and Acceleration, Page 8-9).	Check that all votes for all actions considered are recorded, unless the vote for the highest rank and step is unanimous.	M	M	M
	Accelerated files include separate votes for acceleration, unless the recommendation to the accelerated step is unanimous. The acceleration in step should be explicitly and separately justified.	M	M	-
	Provide the full I&R, OR, or CE titles under current and proposed rank (if applicable).	M	M	-
	Check for receipt of sabbatical reports in the period of review. If report is not on file, department contacted and review of the file is suspended until the report is received.	M	M	-
	If there are minority votes, include the reasons. If options have been exercised without comment, that should also be reported.	M	M	-
	Outside reviewers and students are referred to by code, not name.	M	M	M
	Department faculty who comment on the file are not referred to by name.	M	M	M
	If there is a breach of confidentiality, review stops. If discovered by the Dean's Office, APO must be contacted for further direction.	-	M	M
	All "facts" are documented in the file and are accurate. Numerical references verified. Validate information against publications, Teaching Load Data (TLD), University and Public Service, etc.	M	M	-
	If there is quoted material, the source of the quote is included in the file.	M	M	-
	When corrections are made to only one page (i.e., page 2 of 3), check the corrected page for overlapping and/or omitted sentences	M	M	-
	When letters are revised in response to requests, there is an original and subsequent revised dates.	M	M	-
	If there are revised dates on the letter, check for a signed safeguard (Part II).	-	M	M

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Review File Documents				
Department Letter (2016-17 CALL, page 32) (and Acceleration (Page 8-9).	Review additions, deletions, corrections, etc., to the departmental recommendation and/or the contents of the file for impact on documented departmental review. (Major changes in the file may result in a vote change from negative to positive or positive to negative, the departmental faculty must have an opportunity to change their vote should they choose to do so.	M	M	-
	Confirm that the letter describes the significance and impact of the teaching, research, and service contributions.	M	-	-
	Check for Dean's concurrence. Deans may not simply concur in accelerated merit cases or in merit recommendations where there is a split departmental vote or where there is not a clear majority (i.e. a +2-3 vote).	-	M	M
Minority Report (2016-17 CALL, page 38)	Verify that procedures for Minority Reports in the Call were followed.	M	M	M
	Check for signature.	M	M	M
	All "facts" in the report are documented in the file and are accurate.	M	M	M
Candidate's Response to Department Letter (2016-17 CALL, page 30)	If there is a response, check for Attachment H and ensure that it has been filled out and signed by the candidate. The response can be addressed to the Chair, the Dean, or the Vice Provost for Academic Personnel. If the response is addressed to the Chair, it becomes part of the file at the department level and is forwarded through the review process. Otherwise, follow the instructions on the form and forward appropriately.	M	-	-
	If the candidate's response is addressed to the Dean, an acknowledgement memo is sent to the Chair. Both the response and acknowledgement will be included in the file at the Dean's level. Ensure that Attachment H has been filled out and signed by the candidate.	-	M	-
Candidate's Response to Department Letter (2016-17 CALL, page 30) (Continued)	If the candidate's response is addressed to the Vice Provost for Academic Personnel, an acknowledgement memo is sent to the Dean and Chair. Both the response and acknowledgement will be included in the file for review beyond the Dean's level as indicated on the form. Ensure that Attachment H has been filled out and signed by the candidate.	-	-	M
	Verify that procedures for Candidate's response as outlined in the Call were followed, including time periods and documentation on Safeguard Procedures.	M	M	M
	Verify content of candidate's response. If response contains allegations of procedural violation or incorrect statement of facts, research the validity of statements and make corrections if needed (should be done at the level receiving the response).	M	M	M
	In merit files, check the page limit – maximum of two pages.	M	M	M
Candidate's Self Statement (2016-17 CALL, page 40)	Not used to verify statements in the departmental letter unless there is nowhere else in the file the information could be included.	O	O	O
	Check page limit.	M	M	-
Candidate's Response to Extramural Letters and/or other Material in File (2016-17 CALL, page 31)	Check that the candidate was informed of his/her right to receive redacted copies of extramural letters, student letters, and other-confidential and respond 5 days before the review file opened to the faculty.	M	M	-
	Check that the response was received 5 days before the departmental meeting and became part of the file for faculty review.	M	-	-
	If present, check the Safeguard Statement for date of receipt.	M	M	M
Extramural Letters (2016-17 CALL, page 35-37)	Check that there is a list of names: (1) the reviewers are designated by code; (2) there is a description of the reviewers' area of expertise, title, and affiliation; (3) the list indicates which names were suggested by the candidate and by the faculty; and (4) the list is evenly balanced by names suggested by the candidate and names suggested by faculty. Indicate whether received, no response, or declined.	M	M	M
	If the candidate provided the Chair with names of possible reviewers who might not be objective in their evaluation (including the reason why), this statement from the candidate should be included in the file.	M	-	-

Documents	Tasks M = Mandatory O = Optional	Dept.	College	APO
Review File Documents				
Extramural Letters (2016-17 CALL, page 35-37) (Continued)	The department has used the appropriate solicitation letter from The Call (they can add to the wording but cannot leave wording out).	M	M	M
	The confidentiality statement policy is attached.	M	M	M
	The letters each have a number or letter on them which corresponds to the number or letter on the list.	M	M	M
	The letters are from someone at a rank equal or above the rank sought by the candidate. If not, there is an explanation of the rationale for using that reviewer.	M	-	-
	The letters are present in the file and all signed or accompanied by an electronic signature.	M	M	M
	All solicited letters, whether from a previous year or the current year, obtained in connection with the same action should be included in the file.	M	M	M
Student Letters (2016-17 CALL, page 41)	There is a list of names: (1) the students are designated by code; (2) the list should show how the student letters were obtained; and (3) indicate whether received, no response, or declined.	M	M	M
	Solicitation letter included (or method of solicitation described in file) and it has the confidentiality statement policy attached or as part of the body of the letter or memo.	M	M	M
	All letters must be signed or accompanied by an electronic signature.	M	M	M
UC Biography (2016-17 CALL, page 30)	Make sure most current form is used. N/A for eFile.	M	-	-
	Completely filled out; no incomplete information on page 1. Make sure title(s) is correct.	M	-	-
	Rank, step, and dates (and OS if applicable) are correct on page 2.	M	-	-
	Advancement information is accurate (do not check employment beyond appointment date).	M	-	-
	On page 3 under "Honors, Awards, ..." check to make sure grants are NOT listed	M	M	-
	Page 4 is signed and has a current date. N/A for eFile.	M	M	-
Bibliography-Current (2016- 17 CALL, page 28-30)	Check that the document is within the period of review and that it's not updated beyond the file entry dates specified in The Call.	M	M	-
	Only work produced by the candidate is allowable on the bibliography.	M	M	-
	Individual items should be grouped into similar categories, followed by the status of the item.	M	M	-
	Published items should have the following information: title, publisher's name, date, volume and page numbers.	M	M	-
Bibliography-Current (2016- 17 CALL, page 28-30) (Continued)	In Press items should have the following information: title, publisher's name, acceptance date (at least month and year), number of manuscript or galley pages.	M	M	-
	Submitted items should have the following information: title, publisher's name, full submission date, number of manuscript pages.	M	M	-
	Items that are "in preparation" or "in progress" should not be included in the bibliography or difference list. These may be described in the candidate's self-statement.	M	M	-
Bibliography at Last Advance (2016-17 CALL, page 28)	Should be verified as the actual document at last advance.	M	M	-
	Used to verify bibliography and difference list and forwarded with the file.	M	M	-
Difference List (2016-17 CALL, page 35)	Check the applicable review period. This should also be on the header of the Difference List.	M	M	-
	Only new items since time of appointment or last advancement are to be credited.	M	M	-
	Entries are the exact same as on the Bibliography (titles, publishers, pages numbers, dates, etc.). They should also match the actual publications.	M	M	-

Documents	Tasks M = Mandatory O = Optional	Dept.	College	APO
Review File Documents				
Difference List (2016-17 CALL, page 35) (Continued)	Categories should be the same as on the bibliography	M	M	-
	Current submitted items shown on the bibliography must also be shown on the Difference List.	M	M	-
	Items that are "in preparation" or "in progress" should not be included in the bibliography or difference list. These may be described in the candidate's self-statement.	M	M	-
	If something appeared on the bibliography at last advance as published, in press, or accepted, it must not appear on the difference list.	M	M	-
	If something was listed as submitted and is currently accepted or published, or was not listed at the last advance it should be on the difference list if in the period of review.	M	M	-
	Do not verify the difference list by looking at the last difference list. Compare the current bibliography with the last advance bibliography.	M	M	-
	Verify that the candidate's role in multi-authored publications is described and co-authors are identified. Co-authors identified as students, postdocs, etc. are listed on the teaching load data form.	M	M	-
Professional Activity and Service (2016-17 CALL, page 39-40)	Items are categorized by heading and each entry should be listed only once and as much as possible organized by activity in chronological order including beginning and ending years of participation rather than repeating an activity.	M	M	-
	All years are represented (sometimes a year gets left out) including the current fiscal year.	M	M	-
	Only material for the period under review is included (since last advance for merits, since last promotion for promotions, Step VI, since advance to Step VI for AS…per Chart).	M	M	-
	Headings make sense, are easy to understand and are consistent throughout the document. N/A for eFile.	M	M	-
	There are no grants within the Professional Activity--they should be on the grants page. N/A for eFile.	M	M	-
	Any duplicate items must be annotated in the file.	M	M	-
University and Public Service (2016-17 CALL, page 42)	Only material in the period of review is included.	M	M	-
	Items are categorized by heading (Department, College, Campus, Senate, etc.) and each entry should be listed only once and as much as possible organized by activity in chronological order including beginning and ending years of participation rather than repeating an activity.	M	M	-
	Each entry has a beginning and ending year for the service performed.	M	M	-
	Each entry describes the candidate's role (member, chair, liaison, participant, organizer, etc.)	M	M	-
Grant Activity (2016-17 CALL, page 37-38)	Use appropriate form - Attachment F. N/A for eFile.	M	M	-
	All grants are listed on this page with complete information as required on the form.	M	M	-
	Status must be identified (i.e., current, denied, pending, expired).	M	M	-
	Each entry must include other investigators or state "none."	M	M	-
	Only grants in the period of review should be included.	M	M	-
Teaching Load Data Form (2016-17 CALL, page 41-42)	Department teaching statement is included.	M	M	-
	The form must be completely filled out for the period of review. If a sabbatical leave has been taken or a course release given, etc., it should be noted in the appropriate quarter(s) on the TLD.	M	M	-
	Current fall quarter assignments are listed. If none, it says none.	M	M	-

Documents	Tasks **M = Mandatory** **O = Optional**	Dept.	College	APO
Review File Documents				
	If course was co-taught, indicate % of contribution, guest lecturers, etc.	M	M	-
	List of graduate students contains names only for the period of review.	M	M	-
	The specific assignment is indicated, (i.e., member, oral exam committee, chair, dissertation committee, etc.).	M	M	-
	There are teaching evaluations for all classes that were evaluated for the period of review. For the older format, the departmental summary must be included, but not the College summary.	M	M	-
	The enrollment number on the TLD should match the number indicated on the evaluation form.	M	O	-
	Other mentorship's – names, titles, and dates must be included (i.e., undergraduates, postdocs, visiting, etc.).	M	M	-
Other-Confidential - Unsolicited Letters (2016-17 CALL, page 43)	Unsolicited letters were acknowledged with the Model letter E (Attachment E-5).	M	M	M
Other-Non Confidential	Check if non-confidential letters are in the period of review.	M	M	-
	No copies of publications should be included.	M	M	-
	If multiple items included, a summary list should be included identifying items by code. Same code should be on the actual document. N/A in eFile.	M	-	-
Dean's Letter (2016-17 CALL, page 32)	All "facts" are documented in the file and are accurate.	-	M	M
	Required for all files except merits, where the Dean may concur, with the exception of accelerated merits and split votes or an unclear majority.			
Additional Review Processes	Additional steps in the review process may be required due to file corrections, procedural errors, requests for file updates, the 220 process, and terminal year outcomes to mention a few.			
APO Internal Processes	In addition to the processes listed above, APO is responsible for: (1) tracking the progress of the files, (2) generating status reports related to the process, (3) facilitating Requests for Additional information and/or Updates to files, (4) identifying overrules and off-scale differences, (5) announcing the outcome of reviews, (6) ensuring reasons and feedback memos are sent with announcements, if applicable, (7) preparing Vice Provost's congratulations and salary memos for distribution, (8) preparing Chancellor's congratulatory letters for distribution, (9) fulfilling requests for redactions, and (10) preparing the July 1 payroll update to implement the salary increases from positive reviews.			