

**PROCEDURAL SAFEGUARD AND CERTIFICATION STATEMENT
INSTRUCTIONS TO THE CHAIR**

(Revised 7/19)

The Procedural Safeguard and Certification Statement (Safeguard Statement) has been designed to follow the actual steps taken when a candidate is being considered for a personnel action. It is important for the Department Chairperson, as well as for the candidate, to note how each step leads to the forwarding of a recommendation to the administration. For example, the difference between Number 9 and Number 12 on the Safeguard Statement is a matter of timing. Number 9 occurs before the department meets and votes on the case. Therefore, written comments by the candidate under Number 9 would refer to materials on which the case is based and would be routinely considered by the department before the vote is taken. Written comments submitted by the candidate under Number 12 would refer to the recommendation after the department review and could be supplied to the Chair or sent directly to the Dean, who normally will ask the Department for comment.

It is advisable for the Chair to provide a copy of the Procedural Safeguard Statement to a candidate prior to the initiation of a personnel review, so that the candidate is apprised of the steps and safeguards built into the process. The sample Safeguard Statement (Red Binder I-26) may be used for this purpose. The candidate should also be informed that signing the Safeguard Statement does not imply concurrence with the departmental recommendation. It only provides a record of the procedures that were followed in the review of the case. If the candidate feels that all procedures were not appropriately followed, the department should attempt to rectify the problem. If the candidate continues to feel all procedure were not followed, they may submit a separate memo stating specifically which procedures were not followed. The memo will be added to the case along with the signed safeguard statement.

For individuals holding joint appointments, a separate Safeguard must be completed for each department. In the rare case that a department, based on their stated voting procedures, defers to the majority percentage department, a Safeguard Statement will be required for the majority percentage department.

The Procedural Safeguard Statement is to be completed by the candidate via AP Folio and, must be forwarded as part of the departmental personnel case per Section 220-80-c of the Academic Personnel Manual (APM). If in the case of a mandatory review it is impossible to obtain this document, the chairperson should explain the situation and indicate in what manner he/she has attempted to meet the requirements outlined in the form.

In addition, if any of the following documents have been supplied to the candidate or by the candidate, they must be included in the personnel case when forwarded to the administration:

1. Redaction of confidential documents in the file (7A).
2. Candidate's written statement commenting on material in the file (9).
3. Candidate's written comments regarding the departmental recommendation (12).

In addition to the documentation of the safeguards assured under APM 220-80-c, the Safeguard Statement also allows the following:

- Provides the faculty member the opportunity to elect release of reviewing agency reports to themselves and/or to the department chair at the conclusion of the review.
- Documents that annual reports on outside professional activity have been submitted as required by APM 025.
- Documents that the faculty member attests to the completeness and accuracy of the bio-bibliography included with the case.