

III-7  
**DOCUMENTS TO BE SUBMITTED BY THE CHAIR**  
**RESEARCH APPOINTMENTS**  
(Revised 9/20)

All appointment cases are to be submitted via AP Folio.

- I. **Department Letter:** Accurate and analytical letters of recommendation from the department are essential in the review process. See Red Binder I-35 for further detail of content of departmental recommendations
- Are the dates of the appointment, rank and step all clearly stated?
  - Is the recommended salary on the published salary scale?
  - If a request is being made to use the Engineering scale in a non-Engineering unit (RB III-12 V, A, 2) is appropriate justification provided?
  - Is the off-scale supplement correct (if applicable), per off-scale general policies (RB I-8)?
  - If the salary is off-scale or above scale is it rounded to the nearest \$100 for the Research and Project Scientist series?
  - If a vote was taken, is the final departmental vote included (e.g. 10(yes)-0(no)-0(abstentions)-3(not voting))? Is there an indication of how many were eligible to vote?
  - If no vote was taken, is the review procedure (i.e., committee, chair/director review) explained?
  - Does the departmental letter, provide thorough description of the duties to be performed as justification for the rank, requested?
  - Does the departmental letter provide an accurate, extensive, and **analytical** representation of the candidate's qualifications, justifying the proposed step and salary?
  - If the case contains extramural letters, are letter writers identified **only** by coded list, with no identifying statements?
- II. **Extramural letters of evaluation and list of evaluators** for appointment at the Associate and full level as appropriate for the series (Red Binder III-12, III-14, III-16)
- Extramural Letters**
- Are the required number of letters included, including letters from UC or UC familiar referees when appropriate (RB III-12, III-14, III-16)
  - Are at least half of the letters from references chosen by the Chair/Dept independent of the candidate?
  - Have all letters been coded, on all copies?
  - If the letters were sent via email, is a copy of the email and any attachment included?
  - Are any anomalies in the composition of reviewers explained?
- Sample Solicitation Letter(s) and/or thank you letter(s) for unsolicited letters**
- Was the proper wording used in the letter (RB I-49 to I-50, III-12, III-14, III-16)
  - Is a list of all informational items sent to referees (e.g. CV, Bio-Bib, publications sent, etc, per RB I-51) included? Is a copy of each item included as either part of the case or a one-of-a-kind item?
  - If different versions of either the letter or the materials went out, is a sample of each included?
- List of Referees, including brief Biography and indicating who selected referees** (RB I-46-V)
- Do the codes on the letters match the codes on the list and the codes used in the departmental letter?
  - Does the list clearly indicate if the referees were candidate suggested, department suggested, or independently suggested by both?
  - Are the names of everyone who was asked to write included? For those who did not respond is a reason for no response listed?
- III. **Complete CV and UCSB Academic biography form.**
- Is the CV up to date?
  - Is the UCSB Academic biography form complete, signed and dated?
- IV. **Copies of publications**
- Has a representative sampling of publications been submitted?
  - Have links to electronically submitted items been verified?
  - If items cannot be submitted electronically, have arrangements been made with the Academic Personnel Office?

V. **Supervisor Duties form**

- Has page 1 been completed indicating if the employee will be a supervisor?
- If the employee will be a supervisor, is the checklist filled out and included?

Other considerations:

1. If a search was conducted, the search report must be approved in UC Recruit before the appointment is submitted. If no search was done, a waiver must have been approved.
2. The Procedural Safeguard Statement is not used for new appointments. However, candidates for appointment, once appointed, do have the right to inspect non-confidential documents in their files and to have a redacted copy of the confidential academic review records contained in the personnel review file received pursuant to APM 220-80-i.
3. When putting forward a case for a non-resident alien (i.e. not currently a US Citizen or a Permanent Resident), the department is strongly encouraged to consult with the Office of International Students and Scholars at the time the offer is being considered to be assured that labor certificate processing deadlines are met.