UC San Diego

ACADEMIC AFFAIRS
Academic Personnel Services

FAQ for File Certification Checklists

Background

In 2018, the Executive Vice Chancellor and the Committee on Academic Personnel (CAP) agreed that steps were necessary to ensure academic files would be "committee ready" before going to campus-level review committees (e.g. CAP, PSSRP, AARP). It was also clear that there was a need to identify areas that may need training.

These file certification checklists are intended to allow for a comprehensive review of the file and defining responsibility for detecting and insuring the correction of errors that would otherwise delay the process of evaluating files.

Below are the answers to frequently asked questions regarding how a file certification checklist will be used. If you have additional questions or feedback about how to improve the procedure or protocols, please feel free to share ideas with your designated Academic Advancement & Compensation Analyst.

General Questions

Q: What types of files require a checklist?

A: A checklist is required for all files requiring CAP, PSSRP, or AARP campus committee review.

Q: Do I have to submit a checklist for a file that was already submitted for campus review prior to the checklists' FAQ release?

A: To avoid causing departments and divisions any extra work or additional delays, for files and in-process actions submitted before the finalized FAQ was made available, Academic Personnel Services will not require files to be returned to earlier stages of the review process. APS will expect to see certification checklists added to any files currently in your queues (both departmental and divisional, both for upcoming review season files and those in resolution).

Q: Do I have to complete a second checklist if a file is returned for a preliminary decision or request for additional information?

A: Please update the one you already created and re-upload with new information and a new signature.

Q: Are checklists required for files that are at the Dean's level of authority (post-audited by APS)?

A: While checklists are not technically required for such files (e.g. pre-six lecturer appointments), it is a suggested best practice to complete checklists for any file that has the potential to be escalated. At the time of any escalation to campus review, checklists will be required.

Q: Will a checklist become part of the permanent file?

The checklists will not become a part of the permanent review file.

Q: Why is a signature required?

Signatures are required for general accountability. APS will be signing/certifying as well before files move forward.

Q: Will the candidate see the checklist?

A: No, certification checklists are intended as procedural tools to aid AP staff in file processing.

Q: Will the checklist be provided to CAP, other reviewers, or the EVC?

A: The certification checklists are not forwarded with the file as official documents, but will be made available, upon request, to campus leadership.

Q: What is this document considered in regards to PPM 230-160 Academic Personnel Records/Maintenance of, Access to, and Opportunity to Request Amendment of?

A: The checklists are administrative procedural tools to aid AP staff in file processing. They will not be considered official documents determined to be confidential or non-confidential in the academic review.

Q: What about Joint Appointments? Does each dept/dean's office Staff need to do a checklist of their own?

Each Dept/Dean's office staff need to provide a checklist of their own that will accompany a file.

The Home Department will be the main point of contact to ensure all checklists are present before submission to APS.

Q: Will the checklists be revised in the future and, if so, how will changes be communicated?

A: While APS does not anticipate frequent alterations to the checklists, any updates will be communicated to the department and divisional AP contact list-serves and new versions will be made available on the APS website.

Department AP Contacts

Q: As a department contact, what is the process for submitting my checklist?

A: For files processed in Interfolio, department AP staff users will upload the Department file certification checklist into the recommendation section as a separate pdf, making sure the file setting is

"administrators only."   Re-label the document name to "Department File Certification Checklist." Detailed instructions on how to edit document settings and re-labeling the document name can be found here under the "Editing the file settings or deleting the materials you add" section: https://product-help.interfolio.com/m/33238/l/344721-adding-and-managing-case-materials

For files processed outside of Interfolio, your dean's office/VC AP contact will provide instruction for their preferred method of receipt when your files are routed up to the dean or VC level.

Q: What if I have a question about a step on the checklist?

A: Please ask your dean's/VC's AP contact for advice.

Dean/VC AP Contacts

Q: As a divisional/VC contact, what is the process for submitting my checklist?

A: For Interfolio files, divisional AP contacts will upload the Dean's file certification checklist into the recommendation section as a separate pdf, making sure the file setting is "administrators only." Re-label the document name to "Dean File Certification Checklist". Detailed instructions on how to edit document settings and re-labeling the document name can be found here under the "Editing the file settings or deleting the materials you add" section: https://product-help.interfolio.com/m/33238/l/344721-adding-and-managing-case-materials

For all other file types, please combine the divisional and department checklists into one pdf with the divisional checklist on top (e.g. page 1). Bookmark each checklist within the pdf and use the naming convention below. Upload the bundled checklists into the Dean's AP Portal on SharePoint as soon as your file has been submitted for campus review.

Use the following naming convention for the pdf LAST NAME, FIRST NAME – DEPT – CHECKLISTS.

Upload the pdf into the appropriate divisional SharePoint folder that is used for e-files corresponding to the committee to which the file will be routed.

Q: What if I have a question about a step on the checklist?

A: Please contact your Academic Advancement & Compensation Analyst.