

### Appraisal, Merit, Promotion, and Preliminary Assessment

#### A. Appraisal, merit, and promotion

Responsibility	Action
Dean	1. Compiles list of those eligible for appraisal, merit increase, and promotion; forwards list to departments for verification and to Vice Provost--Academic Personnel.
Department chair	2. Consults with candidate regarding preparation of review file; if applicable, solicits letters of evaluation; notifies Dean--Graduate Studies to prepare comments on service of candidates who are graduate group chairs (see Section UCD-245B). Note: See detailed sequential checklist of chair's duties and responsibilities. Other checklists provide guidelines for preparation of supporting documentation. See Exhibit B for instructions pertaining to language required when letters of evaluation are solicited or when letters are received unsolicited and for model formats for letters.
	3. Provides copy of redacted extramural letters to candidate and informs candidate that he/she has the option to submit a rebuttal letter within 10 calendar days from date of receiving copies of redacted extramural letters.
	4. Consults with faculty, who meet, discuss candidate's record, and subsequently vote (Exhibit A).
	5. Prepares departmental evaluation/recommendation letter; obtains review of letter by voting faculty; provides candidate with copies of all non-confidential documents.
	6. Informs candidate of right to submit a rejoinder to the departmental recommendation within 10 calendar days from date of receipt of department letter.
	7. Obtains Candidate's Disclosure Certificate from candidate that verifies that he/she has reviewed the file.
	8. Forwards complete review file to dean. Note: If candidates wish to submit items requiring special handling, e.g., valuable books, art objects, or recordings, they should be clearly labeled as such and should be accompanied by separate Inventory Control Receipt.
Dean--Graduate Studies	9. Forwards comments on graduate group chair service to dean of college/school/division.
Dean	10. Assures that review file is in compliance with established policies and procedures and assembled in established format for evaluation.

The following steps apply when the approval authority for the action has been delegated to the dean (refer to the Delegations of Authority).

Dean	11. Submits the proposed action directly to college/division/school faculty personnel committee (FPC).
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<b>Responsibility</b>	<b>Action</b>
FPC	12. Evaluates review file and makes recommendation to dean.
Dean	13. Makes final decision; at dates specified by the Vice Provost, sends announcement to department chair, with comments. Note: When dean's final decision is different from recommendation of FPC, reasons for the decision must be included in dean's comments.
Department chair	14. Transmits decision (in writing) to candidate with copy of reviewers' comments. 15. If the action is denied, has candidate sign certification form indicating he/she has received reviewers' comments; sends form to the dean.
Dean	16. Makes final decisions and forwards completed dossiers to Vice Provost--Academic Personnel.
Vice Provost	17. Forwards dossiers and copy of dean's notification list to the Academic Senate office for postaudit by Committee on Academic Personnel (CAP).
CAP	18. Following postaudit, returns completed actions to Vice Provost--Academic Personnel as the office of record.

*The following steps apply when the approval authority for the action is the Vice Provost--Academic Personnel/Chancellor.*

Dean	19. Evaluates review file and writes evaluative recommendation letter and forwards review file to Vice Provost--Academic Personnel.
Vice Provost--Academic Personnel	20. Assures that review file is in compliance with established policies and procedures; forwards review file to CAP.

*If ad hoc committee is required for review:*

CAP	21. Evaluates review file; forwards ad hoc committee nominations to Vice Provost--Academic Personnel.
Vice Provost--Academic Personnel	22. Appoints ad hoc committee; forwards list of ad hoc committee members to CAP.
Ad hoc committee chair	23. Obtains review file from Academic Senate Office, circulates review file to members.
Ad hoc committee	24. Reviews file, meets and discusses file, makes recommendation.
Ad hoc committee chair	25. Drafts final report; returns report and review file to Academic Senate Office.
CAP staff	26. Prepares final ad hoc committee report; obtains signatures of ad hoc committee members following their review of report; forwards report to CAP.

<b>Responsibility</b>	<b>Action</b>
CAP	27. Reviews file and ad hoc committee report; discusses, and votes on recommendation; writes report of recommendation to Vice Provost--Academic Personnel; forwards file and recommendation to Vice Provost--Academic Personnel.
Vice Provost-- Academic Personnel	28. Reviews ad hoc and CAP reports and reviews file; makes decision; if Chancellor has the final decision authority (e.g., for tenure cases), forwards file and written recommendation letter to Chancellor (or Regents). Note: When final recommendation of the Vice Provost is different from recommendation of personnel committee, reasons for the recommendation must be included in the letter to the dean.
	29. Transmits final decision, with reviewer comments, to the dean.
Dean	30. Informs department chair of final decision, with reviewer comments.
Department chair	31. Transmits final decision and copy of reviewers' comments to candidate. This should be done in writing to document date of notification. 32. If action is denied, has candidate sign Certification form indicating he/she has received reviewers' comments; sends form, through dean's office, to Vice Provost--Academic Personnel.

#### B. Preliminary assessment

<b>Responsibility</b>	<b>Action</b>
Vice Provost-- Academic Personnel Dean	1. Makes preliminary assessment to deny promotion to Associate rank. 2. Notifies department chair (with copy to the dean). 3. Provides comments of all reviewers. Note: Responses from all parties are due in 14 calendar days from date of notification to the department.
Vice Provost-- Academic Personnel CAP	4. Reviews responses from department chair and candidate; submits written recommendation for action to Vice Provost--Academic Personnel. 5. Forwards review file to CAP for reconsideration.
Vice Provost-- Academic Personnel Chancellor	6. Reconsiders case and submits recommendation to Vice Provost--Academic Personnel. 7. Reviews personnel committee recommendation and reviews file; sends recommendation to Chancellor.
Vice Provost-- Academic Personnel Dean	8. Makes final decision; returns to Vice Provost--Academic Personnel. 9. Notifies dean. 10. Notifies department chair.