

Merit, Appraisal, Promotion, Career Equity Review, and Preliminary Assessment

A. Merit, appraisal, promotion, and career equity review

Responsibility	Action
Dean(s)	1. Compiles list of those eligible for appraisal, merit, and promotion; forwards list to departments for verification. Reports discrepancies to Vice Provost—Academic Affairs. Lists should indicate all departments to be involved in the review.
Primary department chair	Note: See <u>Chair's Sequential Checklist of Personnel Actions</u> for more details on chair's duties and responsibilities. 2. Consults with candidate regarding preparation of review file; if applicable, solicits letters of evaluation. Circulates names of potential extramural referees to other department chairs involved for comments or additional suggestions. See Exhibit B for instructions pertaining to language required when letters of evaluation are solicited and for model formats for letters. 3. Obtains relevant documents from other departments involved. 4. Provides the candidate an opportunity to review all non-confidential documents in the review file and provides a redacted copy of confidential documents, including extramural letters. Informs candidate of the option to submit a rebuttal letter in response to the extramural letters within 10 calendar days from date of receiving copies. 5. Forwards complete review file to joint department(s), if applicable.
Joint department chair(s)	6. For Federation actions only, submits candidate's dossier to approved peer group for comment. 7. Consults with department faculty following approved departmental voting procedures, who may meet, discuss candidate's record, and subsequently vote (Exhibit A). The faculty vote should consider a 1.0-, 1.5- and 2.0-step advancement in every case, except accelerated promotions which are eligible for 1.0-step or lateral advancement only. 8. Prepares department recommendation letter, including vote, and facilitates review of letter by voting faculty. Provides candidate with copies of all non-confidential documents and redacted copies of confidential documents. 9. Informs candidate of right to submit a rejoinder to the departmental recommendation within 10 calendar days from date of receipt of department letter. 10. Obtains Candidate's Disclosure Certificate that verifies that the candidate has reviewed the file. 11. Forwards department letter and Disclosure Certificate to primary department.
Primary department chair	12. For Federation actions only, submits candidate's dossier to approved peer group for comment. 13. Consults with department faculty following approved departmental voting established policies and procedures, who may meet, discuss candidate's record, and subsequently vote (Exhibit A). The faculty vote should consider a 1.0-, 1.5- and 2.0-step advancement in

	<p>every case, except accelerated promotions which are eligible for 1.0-step or lateral advancement only.</p> <p>14. Prepares department recommendation letter, including vote, and facilitates review of letter by voting faculty. Ensure the candidate has received copies of all non-confidential documents and redacted copies of confidential documents.</p> <p>15. After the results of the department vote are shared with the candidate, the candidate retains the option to pursue the action without department support (prepare the Action Form as a 1.0-step advancement). Or, the candidate may defer consideration for advancement by requesting a deferral, unless policy requires promotion or five-year review.</p> <p>16. Informs candidate of right to submit a rejoinder to the departmental recommendation within 10 calendar days from date of receipt of department letter.</p> <p>17. Update the proposed status and the delegation of authority on the Action Form according to the highest department recommendation.</p> <p>18. Obtains Candidate's Disclosure Certificate that verifies that the candidate has reviewed the file.</p> <p>19. Candidates are given the opportunity to provide names and reasons for those they feel could not provide a fair and unbiased review of the record and should not be invited to serve on an ad hoc committee.</p> <p>20. Forwards complete review file to dean(s).</p> <p>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.</p>
Primary dean	<p>21. Assures that review file is in compliance with established policies and procedures.</p>

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

Primary Dean	<p>22. Submits the proposed action directly to college/school Faculty Personnel Committee (FPC) or appropriate Academic Federation review committee, if required by the Delegations of Authority or at the discretion of the dean if committee review is optional.</p>
Primary school/college FPC or Academic Federation review committee, if applicable	<p>23. Evaluates review file and makes recommendation to primary dean. If the committee makes a recommendation for a 2.0 step advancement or an action that crosses a barrier step, the action becomes non-redelegated (Vice Provost approval authority). Skip to step 33.</p>
Primary dean	<p>24. Shares committee recommendation, if applicable, with joint dean(s); consults joint dean(s). If the joint dean makes a recommendation for a 2.0 step advancement or an action that crosses a barrier step, the action becomes non-redelegated. Skip to step 33.</p> <p>25. Makes final decision. If the Dean does not support advancement, they select "Denied." If the Dean supports the action proposed on the Action Form, the final decision is "Approved." If the Dean supports anything other than what is proposed on the Action Form, the final decision selection is "Other," and the final decision should</p>

	<p>be documented in the comment box or a letter. If the dean makes a recommendation for a 2.0 step advancement or an action that crosses a barrier step, the action becomes non-redelegated. Skip to step 36.</p> <p>Note: When dean's final decision is different from recommendation of committee, reasons for the decision must be included in dean's comments.</p> <p>26. Sends announcement, including committee recommendation (if applicable), to primary department chair and joint dean(s).</p>
Joint dean(s)	27. Informs joint department chair(s) of final decision and provides reviewer comments.
Primary department chair	<p>28. Transmits decision (in writing) to candidate with copy of reviewers' comments.</p> <p>29. If the action is denied or differs from what was proposed, have candidate sign Candidate's Certification of Reviewers Comments form, indicating they have received reviewers' comments; sends form, through dean's office, to Vice Provost-Academic Affairs.</p>
Primary dean	<p>30. When called for annually by the Senate Office, forwards completed Senate actions to Senate Office for post audit by Committee on Academic Personnel (CAP).</p> <p>31. Forwards completed Federation actions to Vice Provost—Academic Affairs as the office of record.</p>
CAP	32. Conducts post audit of completed Senate actions; following post audit, forwards actions to Vice Provost—Academic Affairs as the office of record.

The following steps apply when the approval authority for the action is with the Vice Provost—Academic Affairs, Provost, or Chancellor (refer to the [Delegations of Authority](#)).

Joint dean(s)	33. Evaluates review file, provides recommendation, and forwards review file to primary dean.
Primary dean	34. For appraisal only, submits the proposed action directly to college/school Faculty Personnel Committee (FPC).
Primary school/college FPC, if applicable	35. Evaluates review file and makes recommendation to primary dean.
Primary dean	<p>36. Evaluates review file, including joint dean recommendation(s) and FPC report, if applicable. Provides recommendation. If the Dean does not support advancement, they select "Recommend denial." If the Dean supports the action proposed on the Action Form, they select "Recommend Approval." If the Dean supports anything other than what is proposed on the Action Form, they select "Recommend Other," and the recommendation should be documented in the comment box or a letter.</p> <p>37. Forwards review file to Vice Provost—Academic Affairs</p>
Vice Provost—Academic Affairs	38. Assures that review file is in compliance with established policies and procedures; forwards review file and supporting documents to appropriate personnel advisory committee, if required by the Delegations of Authority or at the discretion of the Vice Provost—Academic Affairs if central committee review is optional.

Appropriate personnel advisory committee, if applicable	39. Evaluates review file to determine if ad hoc committee review is desired. Forwards ad hoc committee nominations to Vice Provost—Academic Affairs, if applicable.
<i>If review committee has requested an ad hoc committee, follow the below steps. If not, skip to step 40:</i>	
Vice Provost—Academic Affairs	a. Appoints ad hoc committee, schedules ad hoc committee meeting, and provides committee members access to the review file.
Ad hoc committee	b. Reviews file, meets and discusses file, makes recommendation.
Ad hoc committee chair	c. Drafts final report and forwards it to Vice Provost—Academic Affairs.
Vice Provost—Academic Affairs	d. Formats final ad hoc committee report and obtains signatures of ad hoc committee members. Forwards review file, including report, to appropriate personnel review advisory committee.
Appropriate personnel advisory committee, if applicable	40. Reviews file and ad hoc committee report, if applicable; discusses and votes on recommendation; writes report of recommendation; forwards file and recommendation to Vice Provost—Academic Affairs.
Vice Provost—Academic Affairs	41. Reviews file, including any committee recommendations; makes decision; if Provost/Chancellor has the final decision authority (e.g., for tenure cases), forwards file and recommendation to Provost/Chancellor. If the Vice Provost does not support advancement, they select “Recommend Denial” or “Denied.” If the Vice Provost supports the action proposed on the Action Form, they select “Recommend Approval” or “Approved.” If the Vice Provost supports anything other than what is proposed on the Action Form, they select “Recommend Other” or “Other,” and the recommendation/final decision should be documented in the comment box or a letter.
Provost/Chancellor, if applicable	42. Reviews file and committee recommendations; makes decision according to delegation of authority. If the Chancellor tentatively denies a 7 th year tenure promotion, follow steps outlined in section B for Preliminary Assessment process.
Vice Provost—Academic Affairs	43. Transmits final decision with reviewer comments to the dean(s). Note: When the final decision of the Vice Provost is different from recommendation of appropriate personnel advisory committee, reasons for the decision must be included in a letter to the appropriate personnel advisory committee with a copy to the dean(s).
Dean(s)	44. Informs department chair(s) of final decision and provides reviewer comments.
Primary department chair	45. Transmits final decision and copy of reviewers' comments to candidate. 46. If the action is denied or differs from what was proposed, have candidate sign Candidate's Certification of Reviewers Comments form, indicating they have received reviewers' comments; sends form, through dean's office, to Vice Provost-Academic Affairs.

B. Preliminary assessment

Responsibility	Action
Chancellor	1. Makes preliminary assessment to deny promotion to Associate rank.
Vice Provost—Academic Affairs	2. Notifies department chair(s) electronically (with copy to the dean(s)) including comments from all reviewers, and notes that responses from all parties are due to the Vice Provost—Academic Affairs within 14 calendar days from date of notification to the department.
Primary department chair	3. Notifies candidate of the preliminary assessment and deadline to provide additional materials.
Joint department chair(s)	4. Submits optional response to primary department chair.
Primary department chair	5. Forwards candidate's and/or chair's response, including any joint department chair letter(s), to the primary dean.
Primary dean	6. Forwards candidate's and/or chair's response, including any joint department chair letter(s), to joint dean(s), if applicable.
Joint dean(s)	7. Reviews responses from candidate and/or department chair(s); forwards optional written recommendation to primary dean.
Primary dean	8. Reviews responses from candidate, department chair(s), and/or joint dean(s); forwards responses and written recommendation to Vice Provost—Academic Affairs.
Vice Provost—Academic Affairs	9. Forwards review file to appropriate personnel advisory committee for response to Preliminary Assessment.
Appropriate personnel advisory committee	10. Reviews case and provides recommendation. Forwards review file to Vice Provost—Academic Affairs.
Vice Provost—Academic Affairs	11. Reviews file and personnel committee report; provides recommendation to Provost.
Provost	12. Reviews file and approves tenure promotion or makes recommendation to deny tenure promotion.
Chancellor	13. If Provost recommends denial, reviews file and makes final decision; returns to Vice Provost—Academic Affairs.
Vice Provost—Academic Affairs	14. Transmits final decision, with reviewer comments, to the dean(s).
Dean(s)	15. Informs department chair(s) of final decision and provides reviewer comments.
Primary department chair	16. Transmits final decision and copy of reviewers' comments to candidate. 17. If the action is denied or differs from what was proposed, have candidate sign Candidate's Certification of Reviewers Comments form, indicating they have received reviewers' comments; sends form, through dean's office, to Vice Provost-Academic Affairs.