

### Five-Year Review

This review is conducted either by the chair alone, or in consultation with the department faculty. In both cases, the chair and the candidate assemble the documentation needed to assess fully the candidate's contributions to teaching, research, and service, as applicable. The review period is since the last approved advancement action, or if at full rank, step 5 can be since the last satisfactory 5-year review. The checklist of required documentation can be found at:

[http://academicaffairs.ucdavis.edu/resources/forms\\_checklists/index.html](http://academicaffairs.ucdavis.edu/resources/forms_checklists/index.html).

The chair can select to conduct the review in one of two ways:

- a. The department faculty vote following the established voting procedures.
- b. The chair prepares a recommendation based on the meeting with the candidate.

#### A. Review by the Department

Responsibility	Action
Primary department chair	<ol style="list-style-type: none"> <li>1. The chair and the candidate assemble the documentation according to the Checklist for Five-Year Review.</li> <li>2. Forwards complete review file to joint department(s), if applicable.</li> </ol>
Joint department chair(s)	<ol style="list-style-type: none"> <li>3. Based on the record, the department, following its established voting procedures for advancement at the current step of the candidate, makes one of the three recommendations: satisfactory, advancement; satisfactory, no advancement; unsatisfactory. (See the definitions in UCD APM 220, III.G.6)</li> <li>4. Prepares department letter, including vote, evaluating the performance of the candidate in teaching, research, and service, as applicable. The letter must discuss the candidate's progress with respect to the plan developed at the time of the third-year deferral, if one occurred.</li> <li>5. Provides the candidate an opportunity to review all non-confidential documents in the review file and provides a redacted copy of confidential documents.</li> <li>6. Obtains Candidate's Disclosure Certificate that verifies that the candidate has reviewed the file.</li> <li>7. Forwards department letter and Disclosure Certificate to primary department.</li> </ol>
Primary department chair	<ol style="list-style-type: none"> <li>8. Based on the record, the department, following its established voting procedures for advancement at the current step of the candidate, makes one of the three recommendations: satisfactory, advancement; satisfactory, no advancement; unsatisfactory. (See the definitions in UCD APM 220, III.G.6)</li> <li>9. Meets with the candidate to discuss the department's recommendation. Note: If the result of the vote(s) is "advancement," the department chair should ask the candidate if they would like to pursue advancement. If the answer is yes, the department should prepare a full merit or promotion packet instead of a five-year review. If the answer is no, please indicate this choice in the department letter with acknowledgement that if the final decision is advancement, the candidate understands they will not be eligible for advancement until the following review cycle.</li> <li>10. Prepares department recommendation letter, including vote, which summarizes the meeting with the candidate and evaluates the performance of the candidate in teaching, research, and service, as</li> </ol>

	<p>applicable. The letter must discuss the candidate's progress with respect to the plan developed at the time of the third-year deferral, if one occurred.</p> <ol style="list-style-type: none"> <li>11. When an existing progress plan has been developed by the candidate/chair, it should be included in the dossier for review.</li> <li>12. If the performance is found to be unsatisfactory, the chair, working with the candidate, must develop a plan for progress.</li> <li>13. Provides the candidate an opportunity to review all non-confidential documents in the review file and provides a redacted copy of confidential documents.</li> <li>14. Obtains Candidate's Disclosure Certificate that verifies that the candidate has reviewed the file.</li> <li>15. Forwards complete review file to dean(s).</li> </ol>
Joint dean(s)	16. Evaluates review file, provides recommendation, and forwards review file to primary dean.
Primary dean	17. Evaluates review file, including any joint dean recommendation(s), provides recommendation, and forwards review file to Vice Provost—Academic Affairs.
Vice Provost—Academic Affairs	18. Assures that review file is in compliance with established policies and procedures; forwards review file to appropriate personnel advisory committee.
Appropriate personnel advisory committee	19. Reviews file; discusses and makes a recommendation; writes report of recommendation; forwards file and recommendation to Vice Provost—Academic Affairs.
Vice Provost—Academic Affairs	<ol style="list-style-type: none"> <li>20. Reviews file and makes one of the following decisions: satisfactory, advancement; satisfactory, no advancement; unsatisfactory.</li> <li>21. If possible advancement, and original recommendation was no advancement, informs primary dean's office, who notifies primary department chair. Chair asks the candidate whether or not they would like to submit an advancement file.             <ol style="list-style-type: none"> <li>a. If candidate would like to pursue advancement, an advancement action is prepared for department review (See Procedure 2).</li> <li>b. If candidate decides not to pursue advancement, the Vice Provost—Academic Affairs amends decision to satisfactory, no advancement.</li> </ol> </li> <li>22. Transmits final decision with reviewer comments to the dean(s).</li> </ol>
Primary dean	23. Informs department chair(s) of final decision and provides reviewer comments.
Primary department chair	24. Transmits final decision and copy of reviewers' comments to candidate.

**B. Review by the Department Chair**

<b>Responsibility</b>	<b>Action</b>
Primary department chair	<ol style="list-style-type: none"> <li>1. The chair and the candidate assemble the documentation according to the Checklist for Five-Year Review.</li> <li>2. The chair consults with joint department chair(s).</li> <li>3. The chair meets with the candidate to review the record. Note: If the result of the review is "advancement," the department chair should ask the candidate if they would like to pursue advancement. If the answer is yes, the department should prepare a full merit or promotion packet</li> </ol>

	<p>instead of a five-year review. If the answer is no, please indicate this choice in the department letter with acknowledgement that if the decision is advancement, the candidate understands they will not be eligible for advancement until the following review cycle.</p> <ol style="list-style-type: none"> <li>4. The Chair writes a letter summarizing the meeting with the candidate and evaluating the performance of the candidate in teaching, research, and service, as applicable. The letter must discuss the candidate's progress with respect to the plan developed at the time of the third-year deferral, if one occurred. The chair includes in the letter one of three recommendations: satisfactory, advancement; satisfactory, no advancement; unsatisfactory. (See the definitions in UCD-220, III.G.6)</li> <li>5. When an existing progress plan has been developed by the candidate/chair, it should be included in the dossier for review.</li> <li>6. If the performance is found to be unsatisfactory, the chair, working with the candidate, must develop a plan for progress.</li> <li>7. Provides the candidate an opportunity to review all non-confidential documents in the review file and provides a redacted copy of confidential documents.</li> <li>8. Obtains Candidate's Disclosure Certificate that verifies that the candidate has reviewed the file.</li> <li>9. Forwards complete review file to dean(s).</li> </ol>
Joint dean(s)	10. Evaluates review file, provides recommendation, and forwards review file to primary dean.
Primary dean	11. Evaluates review file, including any joint dean recommendation(s), provides recommendation, and forwards review file to Vice Provost—Academic Affairs.
Vice Provost—Academic Affairs	12. Assures that review file is in compliance with established policies and procedures; forwards review file to appropriate personnel advisory committee.
Appropriate personnel advisory committee	13. May endorse the chair's review, make a recommendation different from that of the chair, or request a full departmental review (See section A above). Forwards file and recommendation to Vice Provost—Academic Affairs.
Vice Provost—Academic Affairs	<ol style="list-style-type: none"> <li>14. Reviews file and makes one of the following decisions: satisfactory, advancement; satisfactory, no advancement; unsatisfactory.</li> <li>15. If possible advancement, and original recommendation was no advancement, informs primary dean's office, who notifies primary department chair. Chair asks the candidate whether or not they would like to submit an advancement file.             <ol style="list-style-type: none"> <li>a. If candidate would like to pursue advancement, an advancement action is prepared for department review (See Procedure 2).</li> <li>b. If candidate decides not to pursue advancement, the Vice Provost—Academic Affairs amends decision to satisfactory, no advancement.</li> </ol> </li> <li>16. Transmits final decision with reviewer comments to the dean(s).</li> </ol>
Primary dean	17. Informs department chair(s) of final decision and provides reviewer comments.
Primary department chair	18. Transmits final decision and copy of reviewers' comments to candidate.