

**CHECKLIST TO ASSURE FAIRNESS**

Name of Candidate \_\_\_\_\_ Division \_\_\_\_\_ Department/Unit \_\_\_\_\_  
Type of Action \_\_\_\_\_ Review Period \_\_\_\_\_ Effective Date \_\_\_\_\_

Candidate's initials indicate that these obligations have been fulfilled in her/his current academic personnel review.  
Make annotations as necessary. *Signatures of both Candidate and Unit Head are required.*

**BEFORE THE PERSONNEL REVIEW FILE IS ASSEMBLED**

Candidate's    Date  
Initials

- \_\_\_\_\_    \_\_\_\_\_ The Candidate was notified of the impending action, informed about the entire review process, and made aware of [APM 210](#), [CAPM 410.220](#) and [CAPM 200.160](#) and other appropriate sections as shown on Page 1a.
- \_\_\_\_\_    \_\_\_\_\_ The Candidate was made aware that past personnel actions may be viewed during the current review process.
- \_\_\_\_\_    \_\_\_\_\_ The Candidate was made aware that copies of publications (evidence of research and creative work) submitted to the department may be forwarded for review by all review agencies with any action.
- \_\_\_\_\_    \_\_\_\_\_ Candidate was asked to provide the following information as appropriate. Check those items Candidate actually provided and include in file. Submit to Department no later than first day of fall quarter. (Departments may set an earlier deadline.)
  - a. \_\_\_\_\_ Updated Cumulative Biobibliography
  - b. \_\_\_\_\_ Copies of publications/evidence of research and creative work
  - c. \_\_\_\_\_ Copies of manuscripts in progress which Candidate wishes to submit for review
  - d. \_\_\_\_\_ Candidate's Optional Statement
  - e. \_\_\_\_\_ Sabbatical Leave Report (if leave was taken during review period)
  - f. \_\_\_\_\_ Unsolicited material (other information which the Candidate wishes to have included in the review file)
  - g. \_\_\_\_\_ Names of persons (external and internal) suggested by Candidate to be solicited for letters of evaluation. Include brief comments on the academic standing of each proposed reviewer and relationship, if any, to Candidate.
  - h. \_\_\_\_\_ Names of persons (external or internal) who, for reasons set forth in writing by the Candidate, might not objectively evaluate the Candidate's qualifications and performance (include in file).

**BEFORE THE DEPARTMENT RECOMMENDATION IS DETERMINED:**

- \_\_\_\_\_    \_\_\_\_\_ Candidate was provided the opportunity to inspect all NON-CONFIDENTIAL documents to be included in the file. .
- \_\_\_\_\_    \_\_\_\_\_ copy of the redaction with the original file.
- \_\_\_\_\_    \_\_\_\_\_ Candidate was given the opportunity to submit a written statement in response to or commenting upon material in the file within ten (10) working days from receipt of redaction. Response due by \_\_\_\_\_ (date).
- \_\_\_\_\_    \_\_\_\_\_ Candidate declines to submit a written statement. [APM 220-80d](#). \_\_\_\_\_
- \_\_\_\_\_    \_\_\_\_\_ Candidate's written statement, if any, must be included [in the file](#).

**AFTER THE DEPARTMENT RECOMMENDATION IS DETERMINED:**

- \_\_\_\_\_    \_\_\_\_\_ The Candidate was given a copy of the Department letter.
- \_\_\_\_\_    \_\_\_\_\_ Candidate was given the opportunity to submit a written comment on the Department recommendation. Candidate has ten (10) working days from receipt of copy in which to respond. Response due by \_\_\_\_\_ (date).
- \_\_\_\_\_    \_\_\_\_\_ Candidate declines to submit a written statement. [APM 220-80e](#)
- \_\_\_\_\_    \_\_\_\_\_ Candidate's written comment, if any, must be included in the file, and may be submitted to the Department or directly to the Dean. If submitted directly to the Dean, it shall remain confidential from the Department.

Note to Candidate: After the final decision is issued, you may request access to the documents in the review file as specified in [CAPM 200.160](#) . Please contact Academic Human Resources or the divisional Academic Human Resources office to request access.

Signature of Candidate \_\_\_\_\_ Date \_\_\_\_\_ Signature of Unit Head \_\_\_\_\_ Date \_\_\_\_\_

## RIGHTS OF ALL ACADEMIC APPOINTEES IN THE UNIVERSITY

All academic appointees in the University of California have the following rights:

1. The right that the University maintain records containing information pertaining to individuals only to the extent necessary and relevant for official University purposes.
2. The right to privacy with respect to such records maintained by the University.
3. The right to have access to non-confidential documents in such records, and the right to obtain a redacted copy of confidential academic review records.
4. The right to request corrections of fact or deletions of errors in such records and to make additions to such records.
5. The right of individuals to contribute meaningfully to the review process in academic personnel actions affecting them.
6. The right that final administrative decisions concerning appointment, promotion, merit increase, appraisal, reappointment, non-reappointment, and terminal appointment be based solely upon relevant materials contained in individuals' personnel review files.
7. The right to have safeguards in the academic personnel process, including an effective grievance mechanism, which will provide opportunity for inquiry into alleged procedural improprieties in that process.

*The Checklists to Assure Fairness have been designed to ensure these rights are protected.*

Appointees in the following series must also be made aware of policy specific to their title series (see Page 1). Specific section references in both the Academic Personnel Manual (APM) and the Campus Academic Personnel Manual (CAPM) are listed below.

	<u>APM</u>	<u>CAPM</u>
Professor-in-Residence Series	270	510.270
Acting Professor Series	235	506.235
Adjunct Professor Series	280	512.280
Visiting Professor Series	230	504.230
University Professor Series	260	508.260
Astronomer Series	220	502.220
Professional Research Series	310	600.310
Specialist Series	330	602.330
Supervisor of Physical Education Series	300	524.300
Project (e.g. Scientist)	311	601.311