

**CHECKLIST TO ASSURE FAIRNESS:**  
**RESPONSE TO PRELIMINARY ASSESSMENT FOR AN ASSISTANT PROFESSOR**  
For Non-Reappointment or Denial of Tenure

**ATTACH TO RESPONSE TO THE EXECUTIVE VICE CHANCELLOR'S PRELIMINARY ASSESSMENT**

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.*

Name of Candidate \_\_\_\_\_

Response to Preliminary Assessment: (identify materials, e.g., candidate responses; department response; documentation such as title of new publication, date of confidential letter, etc.)  
\_\_\_\_\_

**Candidate's**    **Date**  
**Initials**

1. \_\_\_\_\_    \_\_\_\_\_    The Candidate was given the opportunity to respond in writing to the documents provided through preliminary assessment within ten days of receipt. Written response due by \_\_\_\_\_(date). Candidate may submit written response to department or directly to the dean.
- 1a. \_\_\_\_\_    \_\_\_\_\_    Candidate declines to submit a written response. [CAPM 410.220.t.2](#)
2. \_\_\_\_\_    \_\_\_\_\_    The Candidate was provided the opportunity to inspect all NON-CONFIDENTIAL documents to be included in the file.
3. \_\_\_\_\_    \_\_\_\_\_    The Candidate was provided a redacted copy of the confidential documents which are included in the file. Include a copy of the redaction in the original file.
4. \_\_\_\_\_    \_\_\_\_\_    The Candidate was given the opportunity to submit a written comment or response to the file material within ten (10) working days from receipt of redaction. Response due by \_\_\_\_\_ (date).
- 4a. \_\_\_\_\_    \_\_\_\_\_    Candidate declines to submit a written statement. [CAPM 410.220.t.2](#)
5. \_\_\_\_\_    \_\_\_\_\_    Candidate's written comment, if any, must be included in the file.

**AFTER THE DEPARTMENT COMMENTS ON PRELIMINARY ASSESSMENT**

Note: The department has ten days to comment after receipt of the candidate's response to the preliminary assessment (20 days after the department receives the preliminary assessment materials).

6. \_\_\_\_\_    \_\_\_\_\_    The Candidate has been given a copy of the department response.
7. \_\_\_\_\_    \_\_\_\_\_    Candidate was given the opportunity to submit a written comment on the department response. Candidate has five (5) days from receipt of copy in which to respond. Response due by \_\_\_\_\_ (date).
- 7a. \_\_\_\_\_    \_\_\_\_\_    Candidate declines to submit a written statement. [CAPM 410.220.t.2](#)
8. \_\_\_\_\_    \_\_\_\_\_    Candidate's written statement, if any, must be included in the file, and may be submitted to the department or directly to the dean. If submitted directly to 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 [CAPM200.160](#). Contact the Academic Personnel Office or the divisional Academic Human Resources office.

\_\_\_\_\_  
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 maintains 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.*