

February 13, 2023

TO: Department Chairs, Deans, Directors, Senate Faculty, Academic Business Officers and Staff

FROM: June Betancourt, Director
Academic Personnel

RE: Red Binder updates

A large number of final revisions to the Red Binder (UCSB campus academic personnel policies and procedures) have been posted at the Academic Personnel website to be effective February 2023. Changes include major revisions or additions to subsections of *Section II: Temporary Teaching Titles* due to implementation of the IX Unit 18 Lecturers contract.

A summary of changes is listed below. Please note: additional changes affecting the Academic Researchers (RA) are currently in effect but may not yet be reflected in Red Binder. Departments are advised to consult the MOU available at UCnet <https://ucnet.universityofcalifornia.edu/labor/bargaining-units/>. Departments may also contact AP staff.

The complete Red Binder, as well as the annotated changes are available on the Academic Personnel website at: <https://ap.ucsb.edu/policies.and.procedures/red.binder/>

Summary of changes

I-17	Clarifies faculty housing and recruitment allowance policy and procedure
I-46	Clarifies solicited letter guidelines
I-50	Changes promotion to Sr. Continuing Lecturer solicitation language
II-1	General updates of Unit 18 Faculty Series as a result of newly ratified contract
II-2	(NEW) Introduces new guidelines for Unit 18 pre-six Reappointments
II-3	(NEW) Introduces new guidelines for Unit 18 pre-six Assessments
II-4	(NEW) Introduces new guidelines for Unit 18 pre-six Academic Reviews
II-6	DELETED
II-8	Updates to establishing initial continuing base FTE and augmentations
II-9	(NEW) Moved Excellence Review Guidelines from II-10 and incorporated MOU provisions
II-10	REPURPOSED & RENAMED to encompass procedures related to only Continuing and Sr. Continuing Merit Reviews. Previous II-10 to be deleted

II-11	(NEW) Introduces new guidelines for promotion to Sr. Continuing Lecturers
II-12	REPURPOSED & RENAMED to capture new MOU requirements and associated campus procedures. Previous II-12 to be deleted
II-14	Updates to reflect new MOU criteria and reflect new campus procedures
II-16	Updates with specific MOU references
III-1, III-16	Identifies the ranks of Specialist who undergo merit review as per the MOU
III-5	Technical update about candidate written comments for temp academic title reviews
VI-4	Specifies that represented titles may have specific PFCB entitlements; technical update of PFCB from 70% to 100%
VI-7	Clarifies that faculty on leave must still comply with University policies; specifies factors for consideration of leave requests; clarifies approval level for multi-year leaves
VI-14	Clarifies extramurally funded release to grant buyout procedure
VI-18	Incorporates termination requirements and updates Short Work Break (SWB) for Unit 18 appointments
VI-26	Clarifies that departments are required to notify their deans and AP when faculty plan to separate
VII-1	Modifies pooled search timeframes

cc: Academic Senate
Labor Relations
Equal Opportunity

I-17
NEW SENATE FACULTY COMMITMENTS
(Revised 9/18)

A "start-up memo" addressing the equipment, space, housing and other start-up needs should be forwarded with the appointment packet. Note that one memo may be written to cover all of these issues. The Dean's New Senate Faculty Commitment Sheet will be prepared and endorsed by the Dean and then forwarded to the Associate Vice Chancellor.

At the time the Chancellor extends an offer of appointment to the candidate, a copy of the approved Commitment Sheet will be forwarded to the Dean indicating what recruitment commitments have been approved.

Please note: Revisions in recruitment commitments require approval by the Associate Vice Chancellor for Academic Personnel. Requests for revisions should be made in memo form to the appropriate Dean's office. For revisions being requested prior to the faculty member's start date, a revised commitment sheet will be completed by the College and forwarded to Academic Personnel for review. For revisions being requested after the faculty member's start date, the Dean may simply endorse the departmental request and forward it to Academic Personnel for review.

Housing

Mortgage Origination Program (MOP) loan commitments are made available for approximately a ~~two~~ **three**-year period from the date of appointment. Extension beyond the expiration date may be possible **on a year by year basis dependent of depending upon** financial conditions at the time of the extension request. The actual amount of the loan (up to the maximum specified by Office of the President) will be based on the individual qualification of the faculty member.

An offer may be extended for placement on the wait list for purchase of University owned housing at West Campus Point and North Campus Point, ~~based on College housing allocations~~. Ladder faculty and Lecturers in the Security of Employment series are eligible for placement on the primary housing wait list. **Individuals are added to the wait list at the time of job offer. Under no circumstances may faculty names be added to the top of the list.**

Rental of family student housing may be offered to Assistant Professors and Lecturers with Potential Security of Employment. Rentals are on an "as available" basis and new faculty should be urged to contact the housing office as soon as possible, once an offer has been extended, if they will be exercising this option.

Faculty Recruitment allowance

The Faculty Recruitment Allowance (also known as a Relocation Allowance or Housing Allowance), is made available to help newly recruited faculty meet the costs associated with purchasing a home, usually the down payment or closing costs. It may also be used towards the initial deposit necessary for a rental. **Uses beyond those specified here, such as those outlined in APM 190, are exceptional and are rarely approved at UCSB.** The maximum allowable allocation is based on the rate on Table 40 of the published Salary Scale at the time of hire. Incoming faculty should be advised of the following to avoid unrealistic expectations about how and when they can get the money.

Faculty may not be issued their faculty recruitment allowance until they are employees and have been entered into the payroll system. Exceptions to this policy may not be made and the appointment start date may not be modified to accommodate payment. The faculty recruitment allowance is to be paid out as close as possible to the time it will be used (for example, upon entry into escrow), not at the time of initial employment. Faculty are encouraged to consult with their departments prior to entering escrow to assure that the payment may be issued during the escrow period. A Department or College may require proof of entry into escrow or other appropriate documentation prior to payment of the faculty recruitment allowance.

Faculty recruitment allowances are considered wages for Federal and State tax reporting and withholding and for Social Security taxes, workers' compensation, and unemployment insurance. Payment of the faculty recruitment allowance is made through UCPath as one-time additional pay. Request for payment of the faculty recruitment allowance should be made at least 30 days in advance of the date the money is needed.

I-46
GUIDELINES FOR LETTERS OF EVALUATION
(Revised 2/21)

I. Solicited letters

When letters of evaluation are solicited, the models on the following pages should be used. These letters may be modified slightly; for example the confidentiality statement may be listed on a separate sheet as an attachment referenced in the body of the letter. “Please see the attached University of California statement on confidentiality.” Although the content may be rearranged, none should be deleted, nor should substantive information be added, without prior approval by the Office of Academic Personnel. Departments may choose to use a two-stage solicitation process whereby individuals are first asked, by memo or e-mail, if they would be willing to provide a letter. Those that agree will then be sent materials for review.

II. Unsolicited letters

When unsolicited letters of evaluation are received from an individual or institution, a response should be sent which explains the University's position on the confidentiality of such records. See sample wording N, “Sample thank you letter for unsolicited comments.” Unsolicited letter writers should be listed on the list of extramural letter writers and a copy of the thank you letter must be included with the case.

III. Letters for Assistant Professor/Lecturer PSOE Appointments and Restricted letters

Restricted letters or placement files may be used in Assistant Professor/Lecturer PSOE appointment cases of candidates who have not held prior academic positions post-terminal degree. Appointments requested at the Assistant Professor IV or V level, or for candidates who have held prior academic positions post-terminal degree, should preferably contain evaluator letters solicited by the department or submitted as part of the applicant file. Appointment files at the Assistant Professor/Lecturer PSOE level will normally contain at least three external letters.

When letters of evaluation are received from individuals or institutions that have restrictions placed on the use of the materials forwarded, the sending individual must be notified that under applicable University policy and legal standards the department cannot accept and use evaluations under such restricted conditions. There are two reasons:

1. When a candidate is appointed, evaluations considered at the time of appointment become part of his/her permanent academic personnel record.
2. The University is legally required to maintain, for at least two years, documentary materials pertaining to all applicants in a completed search.

In addition, such material may be relevant in litigation in which discrimination in the appointment process is alleged, or in federal or state agency proceedings that inquire into compliance with applicable governmental affirmative action standards. Therefore, when a department receives a file with such limitations on use, the sending individual should be informed that the Department can not accept the material under the conditions stated. Sample wording I, “Restricted Material” may be used in these circumstances. If the sending individual requests that the file not be used, the evaluatory material in the file can not be considered by the department. Placement files from other UC campuses may be used in an appointment case without being considered restricted. However, placement files from any other University must be treated as restricted if the cover sheet includes a statement indicating that the letters will not be used for any personnel case purpose.

IV. Letters for tenured appointments and career advancements

Letters should come from tenured faculty at distinguished institutions, preferably from full professors. Letters from UC familiar reviewers, are necessary for all tenured and SOE appointments, promotions and advancements to Above Scale. Letters from UC familiar writers are essential for appointment to step VI and Above Scale and advancement to Above Scale, preferably from faculty already at these senior ranks.

Departments should strive to include at least two UC familiar letters for cases in which such letters are required. At least half of the letters submitted with the case should come from references chosen by the Chair in consultation with the department but independent of the candidate. The letters solicited by the department should come from scholars who have not been closely associated with the candidate as collaborators in research, or as teachers,

colleagues, or personal friends. A minimum of six analytic letters is required. Typically, more than six letters will have to be solicited in order to achieve this minimum.

1. **Appointment cases:** When the department is unsure of the exact rank or step to be proposed, the sample solicitation wording for both levels may be used. For example, the language for appointment as Professor I-V and appointment as Professor VI-IX may both be used if the step is not yet clear.
2. **Advancement cases:** Faculty undergoing a promotion review or advancement to Above Scale have the right to suggest names of potential external evaluators (Red Binder I-22, 7.) The candidate should be advised of the parameters governing the mix of external evaluators. It will be helpful for the candidate to know that a request not to use certain potential evaluators will be made part of the review file and, while such requests may be disregarded (if proper evaluation requires such action), they are made and honored regularly and that a reasonable request should in no way jeopardize the candidate's case. An effort should also be made not to contact individuals who have contributed letters for prior reviews of the same candidate
3. **Lecturer SOE series:** In the Lecturer SOE series letters of evaluation may come from UCSB Senate faculty, external to the department, who have conducted a peer review of the candidate's teaching. Peer evaluation may include classroom visits or videotaping, commentary on course syllabi, reading assignments, and examinations. Such letters may not be substituted for the UC familiar letters, which are expected to be external to UCSB and are subject to the same redaction and confidentiality policies as extramural letters.

Any deviation from the above requirements (i.e. less than two UC familiar evaluators, fewer than six letters, an uneven mix between department and candidate nominated) should be fully explained by the department in the coded list of evaluators.

Any reviewing agency may request, through the Office of Academic Personnel, that the file be augmented by additional extramural letters if the letters supplied with the case are viewed as inadequate for proper evaluation of the case. Since such requests delay the review of the case, it is important that the letters supplied by the department meet the above requirements.

V. List of evaluators

The Chair must submit a list of all persons from whom an extramural letter was solicited (Red Binder I-48). The list must indicate which names were submitted by the candidate and which were submitted by the department. In addition the list must contain the following information for individuals who provide letters: name, position/title, institution, field of expertise, past collaborative relationship with the candidate, and any past reviews for which the letter writer also contributed a letter. Similar information must be provided for any unsolicited letters included in the file. Special attention should be given to describing the qualifications and stature of the extramural referees. For individuals who either did not respond to the initial request to write or declined to write, only their name and home institution need be included on the list. The list should be accompanied by a master copy of the letter requesting evaluation, a list of the materials sent to the letter writers, and a copy of all items that were sent to the referees (e.g., C.V., bibliography, reprints, manuscripts, and so forth) if they are not already included with the case of one-of-a-kind materials. The manner in which referees were selected should be described (e.g., "by departmental ad hoc committee", "by Chair in consultation with three senior colleagues", and so forth). The Chair should ensure that individuals who have provided confidential letters of evaluation are not identified in the departmental letter, except by means of a coded list uploaded appropriately with the case.

VI. Additional Information

If letters are solicited, but the decision by the department is to not forward an advancement case, the letters must be maintained by the department and be included in the next advancement case along with any new letters solicited. However, if the letters are not used within three years, they may be destroyed.

If electronic mail is used to solicit or receive letters of recommendation the sample letter format must be followed, and a printed copy must be retained. Redaction of electronic responses should eliminate all headers and footers that would identify the sender. If the response is sent as an e-mail attachment, the e-mail and the attachment must both be included in the case, both properly redacted.

Letters for appointment cases that are received via UCRecruit should be noted as such on the list of evaluators. The solicitation letter and confidentiality statement are generated automatically by UCRecruit and do not have to be included in the case.

When an individual holds appointments in more than one department (joint appointments), the departments may solicit letters jointly, if appropriate.

Contact between the Chair and individuals from whom letters are being solicited is permissible in order to encourage response, but great care must be taken to not bias or influence the judgment of the referee.

WORDING FOR SOLICITATION LETTERS BY PROPOSED ACTION(Revised ~~2/21~~)**Professor series****A. Appointment to Assistant Professor**

_____ is being considered for an appointment as an Assistant Professor in the Department of _____. Appointment to Assistant Professor within the UC system is made in the expectation that the appointee will meet standards for a tenure appointment by the time a promotion decision is due. Recommendations for faculty appointments at this level must indicate clear evidence of potential excellence in both teaching and research.

B. Appointment or Promotion to Associate Professor

_____ is being considered for (an appointment as/ promotion to) Associate Professor in the Department of _____. Appointment (or promotion) to Associate Professor within the UC system includes tenure. The record of performance in (a) teaching, (b) research or other creative work, (c) professional activity, and (d) University and public service is carefully assessed. Reasonable flexibility is used in making personnel judgments, but flexibility does not entail the relaxation of high standards. Superior intellectual attainment, as evidenced both in teaching and in research or other creative achievement, is an indispensable qualification for appointment (promotion) to tenure positions.

For promotion cases add: In assessing the academic record of the candidate, please keep in mind the significant disruptions the University experienced as a result of COVID-19. In March of 2020, just as the Winter Quarter was ending, the UCSB campus was closed and our faculty rapidly transitioned to remote instruction. All campus research facilities including labs and libraries were closed; travel was halted; access to external facilities and archives ceased; and opportunities for professional engagement and visibility were restricted.

At the same time, many faculty had to provide fulltime childcare or dependent care, as our local daycares and other facilities closed. Some had to work and teach in home environments that presented significant technical and logistical obstacles.

It is our expectation that these unprecedented circumstances be taken into consideration in the evaluation of _____'s contributions since Winter 2020. Although our standards for quality and excellence have not changed, we wish to be realistic about the constraints that faculty experienced during this difficult time, and the impacts and consequences of these limitations on faculty research, even after a return to more normal activities.

[When appropriate in promotion cases add: UCSB encourages its faculty members to consider extensions of the pre-tenure period under circumstances that could interfere significantly with development of the qualifications necessary for tenure. Examples of such circumstances may include birth or adoption of a child, extended illness, care of an ill family member, or COVID-19 related hardship. In such cases, University of California policy requires that the file be evaluated without prejudice as if the work were done in the normative period of service.]

C. Appointment to Professor I-V

_____ is being considered for an appointment as Professor in the Department of _____. The ranks of Associate Professor and Professor within the UC system are tenured. The record of performance in (a) teaching, (b) research or other creative work, (c) professional activity, and (d) University and public service is carefully assessed. A candidate for the rank of Professor is expected to have an accomplished record of research that is judged to be excellent by his or her peers within the larger discipline or field. Reasonable flexibility is used in making personnel judgments, but flexibility does not entail the relaxation of high standards. Superior intellectual attainment, as evidenced both in teaching and in research or other creative achievement, is an indispensable qualification for appointment to a Professor rank position.

D. Promotion to Professor

_____ is being considered for promotion to Professor in the Department of _____. Individuals under consideration for this rank have attained tenure at the Associate Professor rank. The record of performance in (a) teaching, (b) research or other creative work, (c) professional activity, and (d) University and public service is carefully assessed. A candidate for promotion to the rank of Professor is expected to have an accomplished record of research that is judged to be excellent by his or her peers within the larger discipline or field. Reasonable flexibility is used in making personnel judgments, but flexibility does not entail the relaxation of high standards. Superior intellectual attainment, as evidenced both in teaching and in research or other creative achievement, is an indispensable qualification for promotion to a Professor rank position.

In assessing the academic record of the candidate, please keep in mind the significant disruptions the University experienced as a result of COVID-19. In March of 2020, just as the Winter Quarter was ending, the UCSB campus was closed and our faculty rapidly transitioned to remote instruction. All campus research facilities including labs and libraries were closed; travel was halted; access to external facilities and archives ceased; and opportunities for professional engagement and visibility were restricted.

At the same time, many faculty had to provide fulltime childcare or dependent care, as our local daycares and other facilities closed. Some had to work and teach in home environments that presented significant technical and logistical obstacles.

It is our expectation that these unprecedented circumstances be taken into consideration in the evaluation of _____'s contributions since Winter 2020. Although our standards for quality and excellence have not changed, we wish to be realistic about the constraints that faculty experienced during this difficult time, and the impacts and consequences of these limitations on faculty research, even after a return to more normal activities

E. Appointment at Professor VI- IX

_____ is being considered for an appointment as Professor [specify step] in the Department of _____. In the University of California, there are nine steps within the rank of Professor. The normal period of service is three years in each of the first five steps. Service at Professor, Step V, may be of indefinite duration. Appointment to Step VI, or higher, calls for evidence of highly distinguished scholarship, highly meritorious service, and evidence of excellent University teaching. In addition, great distinction, recognized nationally or internationally, in scholarly or creative achievement or in teaching is required for appointment at this step.

F. Appointment or Merit to Professor Above Scale

_____ is being considered for (an appointment as/ advancement to) Distinguished Professor (Professor Above Scale) in the Department of _____. In the University of California, there are nine steps within the rank of Professor (steps I-IX). Steps VI, VII, VIII, and IX are reserved for highly distinguished scholars. There is one further rank beyond Step IX, Distinguished Professor. Distinguished Professor is the highest rank attainable by a faculty member in the University of California system. (Appointment/advancement) to an Above Scale salary is reserved for the most highly distinguished faculty (a) whose work of sustained and continued excellence has attained national and international recognition, (b) whose teaching performance is excellent, (c) whose University and public service is highly meritorious and (d) whose professional activity is judged to be excellent.

For merit cases add: In assessing the academic record of the candidate, please keep in mind the significant disruptions the University experienced as a result of COVID-19. In March of 2020, just as the Winter Quarter was ending, the UCSB campus was closed and our faculty rapidly transitioned to remote instruction. All campus research facilities including labs and libraries were closed; travel was halted; access to external facilities and archives ceased; and opportunities for professional engagement and visibility were restricted.

At the same time, many faculty had to provide fulltime childcare or dependent care, as our local daycares and other facilities closed. Some had to work and teach in home environments that presented significant technical and logistical obstacles.

It is our expectation that these unprecedented circumstances be taken into consideration in the evaluation of

_____’s contributions since Winter 2020. Although our standards for quality and excellence have not changed, we wish to be realistic about the constraints that faculty experienced during this difficult time, and the impacts and consequences of these limitations on faculty research, even after a return to more normal activities

Lecturer SOE series

G. Appointment to Lecturer PSOE

_____ is being considered for an appointment as a Lecturer with Potential Security of Employment (PSOE) in the Department of _____. Appointment to Lecturer PSOE within the UC System requires clear evidence of potential excellence in teaching and promise of productive and creative contributions to professional and/or scholarly activity that would support excellent teaching.

H Appointment or promotion to Lecturer SOE

_____ is being considered for (an appointment as/ promotion to) Lecturer with Security of Employment (SOE) in the Department of _____. Appointment (or promotion) to Lecturer SOE includes assessment of the record of performance in (a) teaching, (b) professional and/or scholarly activity, and (c) University and public service. Consistent and sustained excellence in teaching is an indispensable qualification for appointment (promotion) to Lecturer SOE and is the primary factor for evaluation.

For promotion cases add: In assessing the academic record of the candidate, please keep in mind the significant disruptions the University experienced as a result of COVID-19. In March of 2020, just as the Winter Quarter was ending, the UCSB campus was closed and our faculty rapidly transitioned to remote instruction. All campus research facilities including labs and libraries were closed; travel was halted; access to external facilities and archives ceased; and opportunities for professional engagement and visibility were restricted.

At the same time, many faculty had to provide fulltime childcare or dependent care, as our local daycares and other facilities closed. Some had to work and teach in home environments that presented significant technical and logistical obstacles.

It is our expectation that these unprecedented circumstances be taken into consideration in the evaluation of _____’s contributions since Winter 2020. Although our standards for quality and excellence have not changed, we wish to be realistic about the constraint that faculty experienced during this difficult time, and the impacts and consequences of these limitations on faculty research, even after a return to more normal activities

[When appropriate in promotion cases add: UCSB encourages its faculty members to consider extensions of the pre-tenure period under circumstances that could interfere significantly with development of the qualifications necessary for tenure. Examples of such circumstances may include birth or adoption of a child, extended illness, care of an ill family member or COVID-19 related hardship. In such cases, University of California policy requires that the file be evaluated without prejudice as if the work were done in the normative period of service.]

I Appointment or promotion to Sr. Lecturer SOE

_____ is being considered for (an appointment as/ promotion to) Sr. Lecturer with Security of Employment (SOE) in the Department of _____. Appointment/promotion to Senior Lecturer with Security of Employment within the UC System includes assessment of the record of performance in (a) teaching, (b) professional and/or scholarly activity, and (c) University and public service. Consistent and sustained excellence in effective teaching and demonstrated distinction in the special competencies appropriate to teaching the particular subject are indispensable qualification for appointment (promotion) to Sr. Lecturer SOE and are the primary factors for evaluation.

For promotion cases add: In assessing the academic record of the candidate, please keep in mind the significant disruptions the University experienced as a result of COVID-19. In March of 2020, just as the Winter Quarter was ending, the UCSB campus was closed and our faculty rapidly transitioned to remote instruction. All campus

research facilities including labs and libraries were closed; travel was halted; access to external facilities and archives ceased; and opportunities for professional engagement and visibility were restricted.

At the same time, many faculty had to provide fulltime childcare or dependent care, as our local daycares and other facilities closed. Some had to work and teach in home environments that presented significant technical and logistical obstacles.

It is our expectation that these unprecedented circumstances be taken into consideration in the evaluation of _____'s contributions since Winter 2020. Although our standards for quality and excellence have not changed, we wish to be realistic about the constraints that faculty experienced during this difficult time, and the impacts and consequences of these limitations on faculty research, even after a return to more normal activities

J. Appointment to Sr. Lecturer SOE VI

_____ is being considered for an appointment as Sr. Lecturer with Security of Employment (SOE) [specify step] in the Department of _____. In the University of California, there are nine steps within the rank of Sr. Lecturer SOE. The normal period of service is three years in each of the first five steps. Service at Sr. Lecturer SOE, Step V, may be of indefinite duration. Appointment at Step VI, or higher, involves an evaluation of the candidate's entire career and calls for evidence of sustained and continuing excellence in each of the following categories: (a) teaching, (b) professional and/or scholarly activity, and (c) University and public service. Consistent and sustained excellence in effective teaching and demonstrated distinction in the special competencies appropriate to teaching the particular subject are indispensable qualification for appointment as Sr. Lecturer VI.

K. Appointment or Merit to Sr. Lecturer SOE Above Scale

_____ is being considered for (an appointment as/ advancement to) Distinguished Teaching Professor (Sr. Lecturer with Security of employment (SOE) Above Scale) in the Department of _____. In the University of California, there are nine steps within the rank of Sr. Lecturer SOE (steps I-IX). Steps VI, VII, VIII, and IX are reserved for highly distinguished teachers. There is one further rank beyond Step IX, Distinguished Teaching Professor. Distinguished Teaching Professor is the highest rank attainable by an appointee to the Lecturer SOE series in the University of California system. (Appointment/advancement) to an Above Scale salary is reserved for the most highly distinguished faculty (a) whose contributions to University teaching and education outcomes are excellent; (b) whose work of sustained and continuing excellence has attained national or international recognition and broad acclaim reflective of its significant impact on education within the discipline; and (c) whose service is highly meritorious

For merit cases add: In assessing the academic record of the candidate, please keep in mind the significant disruptions the University experienced as a result of COVID-19. In March of 2020, just as the Winter Quarter was ending, the UCSB campus was closed and our faculty rapidly transitioned to remote instruction. All campus research facilities including labs and libraries were closed; travel was halted; access to external facilities and archives ceased; and opportunities for professional engagement and visibility were restricted.

At the same time, many faculty had to provide fulltime childcare or dependent care, as our local daycares and other facilities closed. Some had to work and teach in home environments that presented significant technical and logistical obstacles.

It is our expectation that these unprecedented circumstances be taken into consideration in the evaluation of _____'s contributions since Winter 2020. Although our standards for quality and excellence have not changed, we wish to be realistic about the constraints that faculty experienced during this difficult time, and the impacts and consequences of these limitations on faculty research, even after a return to more normal activities

Continuing Lecturers

L. Continuing Lecturer Excellence review

_____ is being considered for review to be appointed as Lecturer, Continuing Appointment in the Department of _____. Appointment beyond six years as a Lecturer within the UC system includes the right to a Continuing Appointment so long as the University determines that the instructional need exists and that the

instructional performance of the lecturer is excellent. The record of performance in teaching is carefully assessed and the standard of excellence is an indispensable qualification for appointment beyond six years.

In assessing the academic record of the candidate, please keep in mind the significant disruptions the University experienced as a result of COVID-19. In March of 2020, just as the Winter Quarter was ending, the UCSB campus was closed and our faculty rapidly transitioned to remote instruction. All campus research facilities including labs and libraries were closed; travel was halted; access to external facilities and archives ceased; and opportunities for professional engagement and visibility were restricted.

At the same time, many faculty had to provide fulltime childcare or dependent care, as our local daycares and other facilities closed. Some had to work and teach in home environments that presented significant technical and logistical obstacles.

It is our expectation that these unprecedented circumstances be taken into consideration in the evaluation of _____'s contributions since Winter 2020. Although our standards for quality and excellence have not changed, we wish to be realistic about the constraints that faculty experienced during this difficult time, and the impacts and consequences of these limitations on faculty research, even after a return to more normal activities

M. Continuing Lecturer promotion to Sr. Lecturer

_____ is being considered for a promotion to Senior Lecturer, Continuing Appointment in the Department of _____. Appointment beyond six years as a Lecturer within the UC system includes the right to a Continuing Appointment so long as the University determines that the instructional need exists and that the instructional performance of the lecturer is excellent. The record of performance in teaching is carefully assessed and the standard of excellence is an indispensable qualification for appointment beyond six years. _____ completed a review for Lecturer, Continuing Appointment in _____ and is now being considered for promotion to the rank of Senior Lecturer, Continuing Appointment. ~~Along with continued excellence in the area of teaching, promotion to the Senior rank requires service of exceptional value to the university. Service activities may include departmental or campus governance or activities that involve the candidate's professional expertise in a context outside the University's environment.~~ *Achieving Senior Continuing Lecturer status is based on demonstrated exceptional performance based on assigned instructional duties, academic responsibility, and other assigned duties. Instructional contributions that are broad ranging and/or greatly enhance the academic mission of the University, may be considered exceptional.*

In assessing the academic record of the candidate, please keep in mind the significant disruptions the University experienced as a result of COVID-19. In March of 2020, just as the Winter Quarter was ending, the UCSB campus was closed and our faculty rapidly transitioned to remote instruction. All campus research facilities including labs and libraries were closed; travel was halted; access to external facilities and archives ceased; and opportunities for professional engagement and visibility were restricted.

At the same time, many faculty had to provide fulltime childcare or dependent care, as our local daycares and other facilities closed. Some had to work and teach in home environments that presented significant technical and logistical obstacles.

It is our expectation that these unprecedented circumstances be taken into consideration in the evaluation of _____'s contributions since Winter 2020. Although our standards for quality and excellence have not changed, we wish to be realistic about the constraints that faculty experienced during this difficult time, and the impacts and consequences of these limitations on faculty research, even after a return to more normal activities

All series

N. Sample Thank You Letter for Unsolicited Comments

Use the sample letter, modifying as follows:

[Opening remarks: e.g., Thank you for sending us your letter of recommendation regarding _____ who is currently under consideration for an appointment in our department. I would like to inform you that

[Confidentiality paragraph]

I would appreciate if you would inform me whether, in light of our policies, we may proceed with the use of your letter in the personnel file or if you wish it to be destroyed. If you do not respond by _____ the materials will be maintained in our files.

O. Sample Letter for Restricted Materials (Non-UC Placement Files)

Use the sample letter, modifying as follows:

We have received your letter of evaluation regarding _____ who is currently under consideration for an appointment in our department. This letter was received as part of a placement file from _____ which states that this material (not be made part of the individual personnel file/be returned to you after we have completed our use of it/be destroyed after we have completed our use of it/etc.) I am writing to inform you that we are unable to accept and use the material you sent with the constraint on its use that you have stated, and to explain why we are unable to do so.

Under University of California policy, evaluatory material about an individual who is (appointed to an academic position/being considered for promotion) becomes part of the individual's permanent personnel record. (In addition, we are required under applicable legal standards to retain in our files for at least two years documentary material that we have considered on all applicants for a position that has been filled.)

[Confidentiality paragraph here]

I would appreciate if you would inform me whether, in light of our policies, we may proceed to use the material from the placement file, or whether you wish us to destroy the materials without using them in the file. If you do not respond by _____ the materials will be maintained in our files.

P. To Letter Writers from a Prior Review for Amendment or New Letter

Last year you were kind enough to provide an evaluation of _____'s work in consideration of advancement to _____. We appreciate your time and attention in preparing that letter. For institutional reasons, [we did not pursue the case at that time] or [further consideration of this proposed action is currently taking place]. Your earlier evaluation is now part of the official record (copy enclosed). I write to inform you that you may, if you wish, at this time add further comments or an update letter to be included in the record. We certainly encourage you to do so. We are enclosing _____'s current vita and publications to assist in your update.

UNIT 18, ~~Non-Senate Faculty Lecturer~~ and Supervisor of Teacher Education Series

(Revised 9/18)

I. Definition

These titles are used to designate individuals who are appointed ~~on a temporary or continuing basis~~ to teach courses at any level. This series does not include the titles Lecturer PSOE, Lecturer SOE, Senior Lecturer PSOE and Senior Lecturer SOE. (Red Binder I-56)

Policies and procedures regarding terms and conditions of appointments in these titles *are governed by which are not included in the Red Binder are contained in* the Memorandum of Understanding (MOU) for the Non-Senate Instructional Unit (Unit 18).

II. Ranks and StepsLecturer and Senior Lecturer:

Salaries are found on the Unit 18 Academic Standard Table of Pay in the University Salary Scales.

Individuals who have full or shared responsibility for instruction of assigned courses for a specified period of time may be appointed to the title Lecturer. ~~Promotion or appointment to the Senior Lecturer title should be considered for appointees who qualify for the Lecturer title, who provide service of exceptional value to the University.~~

Supervisor of Teacher Education:

Salaries are found on the Unit 18 Supervisor of Teacher Education pay scale.

This title is used only in the Graduate School of Education, Teacher Education Program

III. Appointment Criteria

Initial appointment to these titles requires demonstrated competence in the individual's field. ~~Initial appointment to the Senior Lecturer title also requires appropriate professional achievement and experience.~~

IV. Term of Appointment

- A. ~~During the first six years of service, appointments and reappointments to these titles are normally made for terms of one year or less. A year of service is defined as 3 quarters of qualifying Unit 18 service. RB II-2 defines initial appointment and reappointment terms.~~ Qualifying service is service in any Unit 18 title at any positive percentage of time in the same department. Without salary appointments and Summer Session appointments do not count as Unit 18 quarters of service, *except where noted in Article 23 in the MOU*. Requests for one-time credit of service as defined by Article 7A.B.1 must be endorsed by the Department Chair and Dean and require approval by the Associate Vice Chancellor for Academic Personnel.

~~The employee must be notified in writing of the following: "This is a temporary appointment and any renewal or extension is dependent upon programmatic needs, availability of funding and satisfactory performance. As with any temporary appointment there is no guarantee or obligation on the part of the University for renewal or extension."~~

The employee must also be informed in writing of specific terms and conditions of the position as outlined in Article 7A C.5-3. This information will normally be included in the offer letter.

- B. *Subsequent to a positive Excellence Review*, a reappointment which commences after ~~18 six~~ or more *quarters years* of service within the same department at UCSB will be a Continuing Appointment (See Red Binder II-8 and II-~~109~~).
- C. All assignments must conform to the Workload Statement approved for the Department.

V. Compensation

- A. The source that provides compensation for service under these titles must permit teaching.
- B. During the first 18 quarters of service, individuals appointed as Lecturer ~~or Senior Lecturer~~ are compensated at a rate within the published *salary scale in Table 15*. ~~“Lecturer” range and in accordance with the Unit 18 Academic Standard Table of Pay Rates. Senior Lecturer salaries begin at approximately the rate for Professor, Step I.~~ Determination of rate at initial appointment is based on professional qualifications. Appointees to the Supervisor of Teacher Education title are compensated at a rate from the *published salary scale in Table 32*. ~~Supervisor of Teacher Education pay scale.~~
- ~~C. At the time of appointment to a 10th quarter of service within the same department, a pre-six Lecturer or Supervisor of Teacher Education will be given a six percent salary increase if the individual has not received an equivalent within range salary increase during the prior 9 quarters of service.~~
- ~~DC.~~ An appointee who is reviewed for a Continuing Appointment (an Excellence Review) shall be reviewed for a merit increase in accordance with the guidelines in Red Binder II-940. Subsequent merit reviews will be conducted every three years to be effective July 1—*see Red Binder II-10*. ~~At such time, a Continuing Appointment Lecturer who is found to be excellent will be paid at a rate at or above the minimum indicated on Salary Scale Table 16 and will receive a merit increase of at least six percent at a salary point on Salary Scale Table 17B. A Continuing Supervisor of Teacher Education will receive a merit of at least two steps if found excellent. Continuing Appointees are compensated at rates from the published salary scale in Table 16.~~
- ~~ED.~~ Appointments of a full academic year (three quarters) will be made on a 9/12 basis effective July 1. ~~Appointments for only one or two consecutive quarters are made on a 9/9 basis and are effective October 1 for fall quarter, January 1 for winter quarter and April 1 for spring quarter. If the Lecturer concurrently holds another appointment at UCSB the decision to appoint as 9/12 or 9/9 may be dependent on the basis paid over of the other appointment. Departments are encouraged to consult with the College or Academic Personnel Analysts in these situations.~~
- ~~FE.~~ Appointments for only one or two ~~consecutive~~ quarters are made on a 9/9 basis and are effective October 1 for fall quarter, January 1 for winter quarter and April 1 for spring quarter. If the Lecturer concurrently holds another appointment at UCSB, *or at another UC campus, it may affect how the appointment is entered in payroll.* ~~the decision to appoint as 9/12 or 9/9 may be dependent on the basis paid over of the other appointment.~~ Departments are strongly encouraged to consult with the College or Academic Personnel Analysts in these situations.
- F. Lecturers may be placed on Short Work Break in accord with Red Binder VI-18.

VI. Appointment Averaging

Appointments of a full academic year (three quarters) will be made on a 9/12 basis effective July 1. If the appointment is at a variable percentage of time in each quarter, payroll entry will be averaged across quarters in accordance with Article 6.

Concurrent Unit 18 appointments in a different department and/or any supplemental assignments may impact how the original 9/12 appointment is averaged. There may also be impacts to how the concurrent appointment or supplemental assignment is averaged, even if the appointment/assignment is 9/9.

See the Appointment Averaging [slides](#) for more information and consult with your Dean's analyst for additional guidance.

VII. Reappointment and Advancement

- A. Reappointment that commences prior to completion of 18 quarters ~~six years~~ of service in the same department.

A reappointment to one of these titles requires an ~~assessment-evaluation~~ of the performance of the individual in accord with ~~Article 7A. the department assessment procedures. Assessments-Evaluations~~ are to be made on the basis of ~~teaching effectiveness per Article 7A.G.2, academic responsibility per Article 3, teaching effectiveness per Article 7A.G.2, academic responsibility per Article 3, demonstrated competence in the field, demonstrated ability in teaching, academic responsibility,~~ and other assigned duties. ~~Reappointment to the Senior Lecturer title also requires service of exceptional value to the University.~~ See Red Binder ~~II-6-II-2, II-3, and II-4~~ for procedural guidelines.

- B. Appointments and reappointments that commence after 18 or more quarters ~~six or more years~~ of service in the same department.

See Red Binder II-8 for procedures to be followed with respect to establishing the Continuing Appointment base FTE and Red Binder II-~~10-9~~ for procedures to be followed in the Personnel Review process.

The department must submit annual workload requests for all Continuing Lecturers and Supervisors of Teacher Education to the Dean for approval. The statement must clearly identify any temporary or permanent increases in FTE.

- C. Department Chairpersons have responsibility for administering departmental consideration of personnel actions regarding positions with titles in this series. Departmental evaluations and recommendations regarding appointments and reappointments shall be made pursuant to departmental procedures and in accordance with the Memorandum of Understanding.

VIII. Restrictions *and other considerations*

- A. Graduate level courses may be taught by appointees to these titles with the approval of the Graduate Council.
- B. Registered UC graduate students may not be appointed to these titles. Degree candidates who are not currently registered may be appointed as lecturer by exception. Such appointment requires prior approval of the Graduate Division.
- C. Recall appointments of a Lecturer ~~or Senior Lecturer~~ may not exceed 43% time, alone or in combination with other recall appointments. Appointments are requested using the [Academic Recall Appointment Form](#). Recall appointments are to be entered into UCPath using the Recall: Teaching title (1700).
- D. *A current search waiver or search report must be approved in UC Recruit before an appointment is submitted. If there has been a break in service (due to non-reappointment) of one year or more in a given department, the ~~proposed individual appointee~~ must first re-apply to ~~to and become a finalist~~ and complete the recruitment requirements ~~in~~ of a current open search, prior to consideration for reappointment in the same department.*
- E. *The Procedural Safeguard Statement is not used for new appointments. However, candidates for appointment, once appointed, do have the right to inspect non-confidential documents in their files and to have a redacted copy of the confidential academic review records contained in the personnel review file received pursuant to APM 220-80-i and Article 10 of the MOU.*
- F. *When putting forward a case for a non-resident alien (i.e. not currently a US Citizen or a Permanent Resident), the department is strongly encouraged to consult with the Office of International Students and Scholars at the time the offer is being considered to be assured that labor certificate processing deadlines are met.*

VIII.X. Non-reappointment, Reduction of Time, and Layoff

- A. ~~No notice of non-reappointment is required for appointments that terminate on the scheduled end-~~

~~date when total service is less than six years.~~ *Notice of non-reappointment beyond the scheduled appointment end date is required except as provided for in Article 7A.J.* Termination or reduction in time prior to the scheduled end date must be in compliance with MOU Article 17 E.

~~B. If an individual holding a Continuing Appointment that commenced after six or more years of service in the same department has their workload reduced by up to one course or duties equivalent to one course, 30 day notice is required. If more than one course is eliminated, 60 day notice is required. A twelve month notice will be given in cases of layoff. If less than a twelve-month notice is given, pay in lieu of notice will be given in accordance with MOU Article 17 F. Any Layoff must comply with the provisions of Article 17 F.~~

IX. Approval Authority

<u>Action</u>	<u>Authority</u>	
Workload	Dean	
Appointments for 1 year or less and reappointments		Dean
<i>Pre-Six Assessments</i>	<i>Department</i>	
<i>Pre-Six Academic Reviews</i>	<i>Department</i>	
Years 1-6, Merits	Dean	
Excellence Review	AVC	
Promotion to Sr. <i>Continuing</i> Lecturer		AVC
Continuing appointment merits	Dean	
Recall appointments	Dean	

II-2 (new)
GUIDELINES FOR PRE-SIX REAPPOINTMENT
(As of XX/XX)

I. Appointments & Reappointments

The term “initial appointment” refers to the first appointment of a Unit 18 faculty member in a department, program, or unit at UCSB. The initial appointment of a pre-six Unit 18 faculty shall cover a period of one (1) academic year of either continuous or intermittent service in the same department, program, or unit. The initial appointment may not exceed one (1) academic year.

The term “reappointment” refers to the subsequent appointment following an initial appointment of currently or previously appointed Unit 18 faculty in the same department, program, or unit at UCSB. The first reappointment of a pre-six Unit 18 faculty shall cover a period of two (2) academic years of either continuous or intermittent service in the same department, program, or unit. The second and all subsequent reappointments of a pre-six Unit 18 faculty shall cover a period of three (3) academic years of either continuous or intermittent service in the same department, program, or unit. The final pre-six reappointment may not extend beyond the 18th quarter, which may result in an appointment duration of less than three (3) years. During a two- or three-year reappointment, the minimum average academic year percentage shall be the same between year one of that appointment and all subsequent years of that same appointment, although the term-by-term percentage may vary. See Article 7A.D.5.

To summarize, the typical appointment/reappointment structure for Unit 18 appointee appointed to teach in every quarter during the academic year will be an initial 1-year appointment, followed by a 2-year appointment, followed by a 3-year appointment, then an Excellence Review. Individuals who do not teach every term, will continue to receive 3-year appointments until the time of the Excellence Review or other exception listed in Article 7A.E.4.

Exceptions to the two- or three-year reappointment term length and appointment percent time are discussed in Article 7A.E.4. and 7A.J.6.b:

The University may offer a reappointment for a term of less than two or three years in the same department, when the appointment is for any of the following reasons and the Unit 18 faculty member will be provided with a written explanation:

1. temporary replacement to teach courses that fulfill temporary academic need in lieu of an instructor who is on leave, sabbatical, withdraws from instruction, separated, or is otherwise unavailable;
2. the appointment or reappointment may not extend beyond the 18th quarter.

The decision not to reappoint or to reappoint at a lower overall appointment percentage shall be based on one or more of the following:

1. lack of work (unavailability of a course assignment for which the Unit 18 faculty is qualified, as determined by the University);
2. programmatic need or change (consistent with Article 7A) that results in a lack of work as defined in (1) above;
3. budgetary considerations (subject to Article 7A, Section K.4) that results in a lack of work as defined in (1) above;
4. assignment of course(s) to Senate Faculty that were previously taught by a Pre-Six Unit 18 faculty member that results in a lack of work as defined in (1) above;
5. assignment of course(s) to a graduate academic student employee or postdoctoral scholar that were previously taught by a Pre-Six Unit 18 faculty member that results in a lack of work as defined in (1) above;
6. assignment of course(s) to a Pre-Six Unit 18 faculty member on a time-limited or programmatic basis under Article 7A, Section E - Special Considerations;
7. the University determined at its sole discretion that another current Unit 18 faculty member is more qualified to teach the course(s) that results in a lack of work as defined in (1) above.

II. Evaluation and Reappointment Process

Pre-six appointees on an initial one-year appointment will undergo an assessment prior to reappointment. The outcome of the assessment will determine whether an individual demonstrated teaching competence. See RB II-3.

Appointees on a 2- or 3-year reappointment will undergo a Pre-Six Academic Review in the last year of a 2- or 3-year reappointment, barring an aforementioned exception. The outcome of the review will determine whether an individual demonstrated teaching effectiveness. See RB II-4.

Pre-six Unit 18 faculty shall be provided salary increases upon reappointment in accordance with the Unit 18 MOU.

III. Supplemental Notices

When the specific courses and other assigned duties are not fully known at the time the appointment/reappointment letter is issued, a supplemental notice will be issued, including specific course assignments, no later than 30 days prior to the start of the service period.

IV. Supplemental Assignments

Pre-six Unit 18 appointee appointed at less than 100% and/or for less than the full academic year may subsequently be offered additional courses/other assigned duties (i.e., supplemental assignments).

When a supplemental assignment is made for a third consecutive year, the appointment will be added to the base annual appointment for the remainder of the appointment. See RB II-12 for procedural details.

II-3 (new)
PRE-SIX ASSESSMENTS
(As of **XX/XX**)

This section applies to the Pre-Six Assessment procedures conducted for Unit 18 faculty during their initial appointment year. See Article 7A of the MOU.

Consideration for reappointment will be triggered by submission of a Statement of Interest in Reappointment by the pre-six Unit 18 appointee. This statement, shall be submitted to the department chair in accordance with the deadlines below, or within 30 calendar days from the date the appointment letter is transmitted to the appointee, whichever is later.

Deadlines from Article 7A.J.1:

- 9/12 appointees: October 15
- 9/9 Fall appointment: October 15
- 9/9 Winter appointment: February 1
- 9/9 Spring appointment: May 1

Per Article 7A.J.5, if an appointee fails to timely submit interest for reappointment or submits a written declaration of non-interest for the following academic year, the department, program, or unit shall not be obligated to conduct a Pre-Six Academic Assessment or consider them for subsequent appointments.

The request for reappointment consideration shall include the following, per Article 7A.J.2:

1. Affirmative statement of interest in reappointment
2. Up-to-date Curriculum Vitae
3. List of courses/other duties that the appointee is interested in
4. For each quarter of possible reappointment, the appointment percentage that the appointee would like to receive

The Statement of Interest in Reappointment is provided to the appointee along with the initial appointment approval letter.

The assessment will be conducted by the department chair or equivalent, and will be based on material submitted by the appointee as part of the request for reappointment consideration, and other material available to the chair. The [notice template](#) is available on the AP website. The assessment shall be made on the basis of the following criteria:

- Demonstrated competence in the field
- Teaching ability
- Academic responsibility as defined by Article 3 of the MOU
- Other assigned duties, which may include University co-curricular and community service

The department shall provide written feedback to the appointee. The [feedback template](#) is available on the AP website.

If reappointed, a department, program, or unit is not precluded from offering courses, other duties, or an appointment percentage that are different than, or in addition to, those requested by the appointee.

II-4 (new)
PRE-SIX ACADEMIC REVIEWS
(As of XX/XX)

This section applies to the Pre-Six Academic Review procedures conducted for Unit 18 faculty during their final year of a 2- or 3-year reappointment in the same department. The outcome of the review will determine whether the individual demonstrated teaching effectiveness. See Article 7A of the MOU.

Unit 18 faculty normally undergo the pre-six Academic Review during the final academic year of a multi-year appointment. *However, in accordance with the Transition Plan, Unit 18 faculty with 9 or more quarters as of July 1, 2022 must have their Academic Review conducted during the 2022-23 academic year.*

I. Requirements

Except for appointees affected by the Transition Plan guidance (above), consideration for reappointment will be triggered by submission of a Statement of Interest in Reappointment by the pre-six Unit 18 appointee. This statement, shall be submitted to the department chair in accordance with the deadlines below, or within 30 calendar days from the date the appointment letter is transmitted to the appointee, whichever is later.

Deadlines from Article 7A.J.1 apply to the final year of a reappointment:

	Initial Appointment	Multi-Year Appt – Final Year
9/12 appointment:	October 15	October 15
9/9 Fall appointment:	October 15	October 15
9/9 Winter appointment:	February 1	October 15
9/9 Spring appointment:	May 1	October 15

Per Article 7A.J.5, if an appointee fails to timely submit interest for reappointment or submits a written declaration of non-interest for the following academic year, the department, program, or unit shall not be obligated to conduct a Pre-Six Academic Review or consider them for subsequent appointments.

The request for reappointment consideration shall include the following, per Article 7A.J.2:

1. Affirmative statement of interest in reappointment
2. Up-to-date Curriculum Vitae
3. List of courses/other duties that the appointee is interested in
4. For each quarter of possible reappointment, the appointment percentage that the appointee would like to receive

The Statement of Interest in Reappointment is provided to the appointee along with the initial appointment approval letter.

II. Criteria

The Academic Review shall be made on the standard of teaching effectiveness, academic responsibility per Article 3 of the MOU, and other assigned duties.

Per [Article 7A.G](#), instructional performance shall be evaluated according to the following criteria, as demonstrated by the materials in the review file:

- Dedication to and engagement with teaching;
- Command of the subject matter and continued growth in mastering new topics;
- Organizing and presenting course content effectively and with demonstrated learning outcomes;
- Setting pedagogical objectives appropriate to the course topic, level, and format;
- Responding to student work in ways commensurate with student performance, course topic, level, and format;
- Awakening in students an awareness of the importance of the subject matter;
- Inspiring interest in beginning students and stimulating advanced students to do complex work;
- Developing pedagogically effective assignments, lecture slides, lesson plans, exams, and/or other course materials and/or prompts for student work;

III. Documentation of Performance

Departments must provide at least 30 calendar days' notice in advance of the review and include timing, criteria, and procedures for the review. The review notice template on the AP website should be used:

- Lecturer under the Transition Plan (9+ quarters of service as of 7/1/22, review conducted during 2022-23: [notice template](#)
- Lecturer with < 9 quarters of service, review conducted during 2023-24: [notice template](#)

The Academic Review will be conducted by the department chair or equivalent, and will be based on material submitted by the appointee, and other material available to the chair. These include but are not limited to:

- A self-statement regarding the Unit 18 appointee's performance, teaching objectives, and teaching activities.
- Written assessments from classroom observations conducted by appointee colleagues or evaluators, if any.
- ESCIs and written student comments, provided that the quantitative measure in the student evaluation is not the sole criterion for evaluating teaching.
- In addition to the syllabi, up to six (6) additional materials relevant to effective teaching (e.g., pedagogical methods, student learning outcomes, assignments, lecturer slides, lesson plans, exams, and prompts for student work) to be included in the file. The University shall give such materials due consideration.

IV. Review Procedure

Academic Reviews will be conducted such that the completed review can be submitted, along with reappointment paperwork, to the Dean's office no later than April 1.

Once all materials are assembled, the department chair or equivalent evaluates the case file and makes a determination of "teaching effectiveness" based on the criteria outlined in Article 7A.G (also enumerated in Section II above).

The department shall notify the Unit 18 faculty member of the outcome of the review within 20 calendar days from its completion and no later than March 31 in the second year of a two-year reappointment, or the third year of a three-year reappointment. A positive outcome is a finding of teaching effectiveness. If the outcome of the review is negative, finding that the Unit 18 faculty member did not demonstrate teaching effectiveness during the review period, the notification will include an explanation. The [outcome notice template](#) posted on the AP website should be used.

H-6
NSF ASSESSMENT AND MENTORING IN YEARS 1—6
(Revised 5/16)

A. Assessment Process

The decision to reappoint or not reappoint a NSF in years one through six shall be preceded by an assessment of the performance of the NSF. The assessment will be undertaken in accordance with the department's applicable review procedures in effect at the time.

1. As soon as possible prior to the initiation of an assessment the NSF shall be notified of the timing of the assessment and the form of assessment that will be followed.
2. Assessments of individual NSF in the unit for consideration of reappointment are to be made on the basis of demonstrated competence in the field, demonstrated ability in teaching, academic responsibility and other assigned duties that may include University co-curricular and community service.
3. The individual being assessed may provide letters of assessment from others including departmental NSF, and other relevant materials to the Department Chair, the Chair's equivalent or other designated official as part of the assessment process.

B. Mentoring Meetings

During the 9th quarter of service in the same department, the Department will provide the each NSF the opportunity to participate in a mentoring meeting. The purpose of the meeting is to provide the NSF with performance feedback. The mentoring meeting process is subject to the provisions of Article 31. The following procedures are to be followed:

1. The Academic Personnel Office will provide the department with a list of NSF eligible for a mentoring meeting during each academic year.
2. The department will notify each eligible NSF at least 30 days in advance of the proposed meeting. If the NSF chooses to decline the mentoring meeting, they must do so in writing.
3. Performance feedback is to be provided orally only, based on materials readily accessible to the Chair, such as: student evaluations, syllabi and other examples of instructional materials, and classroom visits as appropriate. Performance of assigned duties from at least the most recent six quarters is to be considered.
4. The Mentoring Meeting form must be signed by both the Chair and the employee. The form is to be placed in the personnel file, with a copy sent to the Academic Personnel Office.

C. At UCSB, evidence of teaching competence may be demonstrated in a number of ways including:

- ESCI forms (required in all cases)
- Written comments from student evaluations
- Assessment by former students who have achieved notable professional success
- Assessment by other members of the department, or other appropriate faculty members
- Development of new and effective techniques of instruction and materials

- ~~Assessment from classroom visitations by colleagues and evaluators.~~

~~Departments may refer to the discussions of evidence in Continuing Appointment merit cases contained in Red Binder II-10 for further information on evaluation of teaching.~~

II-8

GUIDELINES FOR ~~ESTABLISHMENT OF THE~~ CONTINUING APPOINTMENT BASE FTE

(Revised 5/16)

The consideration of the employment of Unit 18 ~~non-senate~~ faculty (~~NSF~~) should be undertaken with a view to the highest possible quality of instruction and the optimal advancement of the curricular and programmatic interests of the department. There should be the underlying presumption that:

1. The teaching function of an academic department or program is to be discharged typically by members of the Academic Senate (~~ladder faculty~~ *appointees to the Professorial* and Lecturers with Security of Employment *series*);
2. Teaching needs not met by ~~ladder faculty or LSOE's~~ *Senate faculty* will be met by Teaching Assistants and Associates as an integral part of their graduate training whenever this is possible and appropriate;
3. ~~NSF~~ *Unit 18 faculty* will be employed when needs cannot be met as described under 1. and 2. above.

~~The level of instructional need will normally be at the same level as the need during the year prior to the start of the Continuing Appointment. The initial continuing appointment percentage will be at least equal to the Unit 18 faculty member's minimum appointment percentage during the previous 2- or 3-year reappointment.~~ If, prior to the issuance of the letter approving the Continuing Appointment, the department determines that the initial continuing appointment percentage will be lower than expected, the appointee must be notified, in writing, as soon as practicable. *Please consult your AP analyst for assistance in this process.*

See Articles 7B.B.2 and 7C.B.1 for situations indicating that instructional need will not exist, or may be reduced.

~~Instructional need will not exist, or may be reduced, when:~~

- ~~a) A Ladder faculty member or Lecturer SOE is designated to teach the course(s) during the next academic year.~~
- ~~b) A Teaching Assistant or Associate is designated to teach the course(s) during the next academic year.~~
- ~~c) A Visiting Professor or Adjunct Professor is assigned to teach the course(s) during the next academic year.~~
- ~~d) The assignment of the NSF to teach the course(s) conflicts with established departmental academic program requirements for intellectual diversity~~

Augmentation of Continuing Appointment base:

Temporary augmentation may be made to the Continuing Appointment if the increase is for a distinct and finite period of one year or less. Temporary augmentations will not be added to the appointee's base percentage on a continuing basis. Temporary augmentations may result from:

- Faculty leaves
- Circumstances which require emergency course coverage
- The need to deliver instruction until newly hired ladder rank faculty are scheduled to begin teaching
- Temporary and/or unanticipated fluctuations in enrollment

- Programmatic change designed to meet the academic mission of the University

Any augmentation not meeting the above definitions will be considered a permanent augmentation to the individual's Continuing Appointment base percentage.

When the University assigns a Unit 18 faculty member a temporary augmentation for the same course in three or more consecutive academic years, the Unit 18 faculty member shall have a permanent augmentation to the appointment base.

Reduction of the Continuing Appointment base may only take place in accord with Article 17, Layoff, reduction in time and Reemployment.

II-9 (new)
EXCELLENCE REVIEWS
(As of XX/XX)

This section outlines the requirements for the Excellence Review, which determines a Unit 18 faculty's Continuing Status. See Article 7B and Article 43 of the MOU.

I. Eligibility

A Unit 18 faculty member shall be eligible for Excellence Review when:

1. The Unit 18 faculty is appointed for an 18th quarter of service in the same department and
2. Instructional need as defined in Article 7B.B exists in the 19th quarter

Excellence Reviews will be conducted by the department in response to the annual call issued by the Office of Academic Personnel. Excellence Reviews are to be submitted to the Dean's office based on the schedule provided by Academic Personnel so that the campus review process may be completed by the end of the 18th quarter of service.

The department shall notify the eligible Unit 18 faculty in writing no less than 45 days prior to the date by which the review materials must be submitted. The notification requirements are outlined in [Article 43.B.2](#) and the [notice template](#) on the AP website should be used.

II. Criteria

The standard for continuing status is demonstrated excellence in teaching, academic responsibility per Article 3 of the MOU, and other assigned duties.

Per [Article 43](#), instructional performance shall be evaluated according to the following criteria, as demonstrated by the materials in the review file:

- Dedication to and engagement with teaching;
- Command of the subject matter and continued growth in mastering new topics;
- Organizing and presenting course content effectively and with demonstrated learning outcomes;
- Setting pedagogical objectives appropriate to the course topic, level, and format;
- Responding to student work in ways commensurate with student performance, course topic, level, and format;
- Awakening in students an awareness of the importance of the subject matter;
- Inspiring interest in beginning students and stimulating advanced students to do complex work;
- Developing pedagogically effective assignments, lecture slides, lesson plans, exams, and/or other course materials and/or prompts for student work

III. Documentation of Performance

The following review materials are required:

- Current CV or bio-bibliography
- A self-reflection/self-statement/self-evaluation of the candidate's performance, teaching objectives, and teaching activities
- ESCIs and written student evaluations
- Term-by-term enumeration of the number and types of courses taught
- Solicited, confidential extramural letters of evaluation (see Section IV below)

See [Article 43.C](#) for other, optional review materials that may be submitted and used in the review.

IV. Extramural Evaluations

As part of the review file for the Excellence Review, departments must submit five or more letters of recommendation. These letters may be of two types:

1. Letters from extramural referees with knowledge of the candidate's professional status and teaching record including former students and graduates who have achieved notable professional success since leaving the university, reviewers who can comment on the candidate's command of the subject and continuous growth in the subject field, or any appropriate referee with knowledge of the candidate's performance.
2. Letters from UCSB Senate faculty or Continuing Lecturers, external to the department, who have conducted peer review of the candidate's teaching. Peer evaluation may include such things as classroom visits or videotaping, commentary on course syllabi, reading assignments, and examinations. Qualitative descriptions and opinions are preferable to quantitative ratings or comparative rankings in peer evaluation of teaching.

Both types of letters are subject to the same redaction and confidentiality policies as extramural letters.

The candidate must be given the opportunity to suggest the names of persons who could be solicited for letters of evaluation, and also to indicate in writing the names of persons who, in the candidate's view, might not objectively evaluate the candidate's qualifications or performance for *any* reasons ~~set forth~~ (which may include "personal reasons"). The candidate should know that a request to exclude certain potential evaluators will become part of the review file and that such requests are made regularly and should in no way jeopardize the candidate's case. Furthermore, such requests are generally honored to the extent possible unless they interfere with proper evaluation.

The sample solicitation letter and confidentiality statement must be used when soliciting letters of evaluation (Red Binder I-49 and I-50). Additional wording may be added describing the criteria that are relevant in a particular candidate's case. If wording is added or changed, Academic Personnel must be consulted regarding the revised language prior to sending the solicitation letter.

V. Review Procedure

Excellence Reviews will be conducted by a departmental committee composed of academic appointees with sufficient knowledge in the field of expertise of the candidate. In addition, the department will make reasonable efforts to ensure that a qualified Unit 18 faculty member will participate in such review committees. All such service will be voluntary. If the review is conducted by an ad hoc committee rather than a standing departmental committee, the individual under review will be consulted concerning the Unit 18 faculty representation. If it is not practical to form a review committee within a department, the committee will be formed at the college level following established procedures.

Once all materials are assembled, and before the departmental review committee evaluates the file, the candidate will be provided an opportunity to inspect all non-confidential materials in the file, pursuant to [Article 10](#). The candidate may also, at this time, request redacted copies of the confidential materials in the file. The candidate will then have 5 days from the date materials are received, to submit an optional written statement in response to or commenting upon the materials. This statement would be added to the review file.

The departmental review committee evaluates the case file and makes a *preliminary* recommendation. This *preliminary* recommendation should accurately ~~describe-reflect~~ all committee views, including those of dissenting members. ~~The departmental recommendation is determined by vote of the eligible Senate faculty. The review committee will present its recommendation to the eligible Senate faculty within the department (voting faculty, as defined by the department's by-laws). The voting faculty will review the case file, discuss the committee's recommendation, vote on supporting the committee's recommendation, and provide additional analysis as appropriate. These comprise the department's final recommendation.~~ Once the final *department* recommendation is complete, the candidate should be advised of the outcome and, upon request, provided a copy of the department letter. The candidate will have 5 days to submit an optional written statement in response to the departmental recommendation, which will be added to the file. The candidate will sign the Safeguard Statement within AP Folio, and the complete case file is sent to the office of the appropriate Dean.

The Dean of the appropriate college makes an analysis and recommendation based on the materials and recommendation submitted by the department. ~~In addition to the departmental case, however, the Dean has access to departmental and Dean's recommendations from previous reviews.~~ The case is then forwarded to the Associate Vice Chancellor (AVC) for Academic Personnel.

The AVC has approval authority for Excellence Review cases, and if they determine that additional review is necessary for proper evaluation, they may request that the Committee on Academic Personnel (CAP) review the case.

The final decision is based on the documentation presented in the departmental file, as well as the recommendations of the Dean and CAP (in those cases where CAP is asked to review).

If the candidate's performance is deemed excellent and they achieve Continuing status, they will first be moved to the salary point on Table 16 that corresponds to their current pre-six salary. A minimum of 2 salary points shall be awarded from there as a merit increase.

Requests for reconsideration of a final decision will be governed by Red Binder I-10.

H-10

~~— Excellence Reviews and Subsequent Merit Reviews~~

(Revised 9/18)

~~The Excellence Review of a Unit 18 member is intended to determine Continuing Status. Both the Excellence Review and subsequent merit reviews are intended to reward those individuals who meet specified standards of excellence. The retention of these candidates beyond the sixth year is a significant academic personnel action and the criteria and guidelines described herein must be carefully followed in the review process.~~

~~I. Requirements for Excellence Reviews and Subsequent Merit Reviews~~

~~Employment beyond the sixth year (18 quarters) will occur when two conditions are met:~~

- ~~1. As the result of an Excellence Review the individual under consideration is deemed excellent (Article 7B A.4), thus conferring Continuing Status, and~~
- ~~2. Need exists in the 19th quarter (Article 7B A.6)~~

~~Article 7B E outlines the criteria and evidence to be considered when evaluating all unit members for a Continuing Appointment through an Excellence Review and for subsequent merit increases.~~

~~Evaluations of individual non-senate faculty in the unit for consideration of Continuing Appointments are to be made on the basis of demonstrated excellence in the field and in teaching, academic responsibility and other assigned duties that may include University co-curricular and community service. Reappointment to the senior rank requires, in addition, service of exceptional value to the University.~~

~~Article 7B E provides for the following measures of instructional performance:~~

- ~~(1) Command of the subject matter and continued growth in mastering new topics;~~
- ~~(2) Ability to organize and present course materials;~~
- ~~(3) Ability to awaken in students an awareness of the importance of the subject matter;~~
- ~~(4) Ability to arouse curiosity in beginning students and to stimulate advanced students to do creative work; and~~
- ~~(5) Achievements of students in their field.~~

~~II. Evaluation of Performance~~

~~It is the department's responsibility to evaluate Continuing Appointment lecturers every three years. Periodic assessment of lecturers, required for any reappointment prior to the sixth year of service, may take on added significance should the individual later be proposed for a Continuing Appointment. Each department, using standards of excellence appropriate to the particular discipline or subject area should develop systematic methods and criteria for discriminating among levels of performance.~~

~~The primary criterion for review will be the demonstrated excellence in teaching. Departments must provide well-documented evidence on which the appraisal of teaching competence has been based. If during the course of the review, or at any other time, the Department Chair determines that based on the evaluation criteria there has been a significant decline in the quality of performance by the Continuing Appointee, the procedures outlined in Article 30 of the MOU must be followed.~~

III.—Review Procedure

Excellence reviews and subsequent merit reviews will be conducted by the department in response to the annual call issued by the office of Academic Personnel. Excellence reviews are to be submitted to the Dean's office based on the schedule provided by Academic Personnel so that the campus review process may be completed by the end of the eighteenth quarter of service. Subsequent merit reviews will occur every three years, with effective dates of July 1. Cases are due to the Dean's office by March 31. A Continuing Appointee may request a one-year deferral of the review. Such requests must be made via the Department Chair, to the Dean. Future eligibility for review will be based on the new review date. The department should inform the candidate of internal department deadlines and the opportunity to submit materials to be included in the case. If the candidate does not turn in materials by the departmental due date, the department will conduct the review based on the materials available in the department as of the due date.

Excellence reviews and subsequent merit reviews will be conducted by a departmental committee composed of academic appointees with sufficient knowledge in the field of expertise of the individual being reviewed. In addition, the department will make reasonable efforts to ensure that a qualified non-senate faculty member be a member of each review committee. All such service will be voluntary. If the review is conducted by an ad hoc committee rather than a standing departmental committee, the individual under review will be consulted concerning the non-senate faculty representation. If it is not practical to form a review committee within a department, the committee will be formed at the college level following established procedures. The eligible Senate faculty within the department will vote on the recommendation and provide additional analysis as appropriate.

IV.—Documentation of Performance

It is recognized that there is no single standardized form of evaluation that is appropriate for all disciplines or for all courses within any single discipline, and that the most effective assessment of teaching and field supervision will often come from those familiar with the methods and approaches in teaching and field supervision in a given candidate's area of expertise. The following may be used as a basis for evaluation of excellence in teaching and field supervision:

- ESCI forms (required in all Lecturer cases)
- Field Supervision Evaluation Forms (required for all Supervisor of Teacher Education cases)

In addition, at least one of the following:

- Written comments from student evaluations
- Assessment by former students who have achieved notable professional success
- Assessment by other members of the department, or other appropriate faculty members
- Development of new and effective techniques of instruction/field supervision and materials
- Assessment from classroom visitations by colleagues and evaluators.

The individual under review may also provide:

- A self statement of teaching
- A list of individuals from whom input may be solicited
- Letters of assessment from individuals with expertise in the field
- Evidence of completion of an Instructional Development Teaching Certificate program
- Other relevant materials to the evaluation file

It is the review committee's responsibility to submit analytical statements concerning the candidate's teaching effectiveness. These must be accompanied by evidence from the categories listed above. The review committee should make explicit the criteria it has used for assessing teaching performance.

V. Extramural Evaluations

For the Excellence Review and for promotion to Senior Lecturer, in addition to the materials listed above, the department must submit five or more letters of recommendation. These letters may be of two types:

1. Letters from extramural referees with knowledge of the candidate's professional status and teaching record including former students and graduates who have achieved notable professional success since leaving the university, reviewers who can comment on the candidate's command of the subject and continuous growth in the subject field, or any appropriate referee with knowledge of the candidate's performance.
2. Letters from UCSB Senate faculty or Continuing Lecturers, external to the department, who have conducted peer review of the candidate's teaching. Peer evaluation may include such things as classroom visits or videotaping, commentary on course syllabi, reading assignments, and examinations. Qualitative descriptions and opinions are preferable to quantitative ratings or comparative rankings in peer evaluation of teaching. Such letters are subject to the same redaction and confidentiality policies as extramural letters.

The candidate must be given the opportunity to suggest the names of persons who could be solicited for letters of evaluation, and also to indicate in writing the names of persons who, in the candidate's view, might not objectively evaluate the candidate's qualifications or performance for reasons set forth (which may include "personal reasons"). The candidate should know that a request to exclude certain potential evaluators will become part of the review file and that such requests are made regularly and should in no way jeopardize the candidate's case. Furthermore, such requests are generally honored unless they interfere with proper evaluation.

The sample solicitation letter and confidentiality statement must be used when soliciting letters of evaluation (Red Binder I 49 and I 50). Additional wording may be added describing the criteria that are relevant in a particular candidate's case. If wording is added or changed, Academic Personnel must be consulted regarding the revised language prior to sending the solicitation letter.

VI. Other Evidence

Evidence of curricular development and renewal should be documented. Critical experimentation with materials and methods for teaching improvement, publication of articles, and presentation of papers at professional meetings or workshops may be submitted as evidence of commitment to excellence in teaching.

Evidence of competence in the field, command of the subject and continuous growth in the field may be demonstrated by the candidate's participation in the discipline itself. In certain fields such as art, music, dance, literature, writing, and drama, distinguished creation should receive consideration. In evaluating artistic creativity an attempt should be made to demonstrate the candidate's merit in the light of such criteria as originality, scope, richness, and depth of creative expression. It should be recognized that in music, drama and dance, distinguished performance in design, conducting, and directing is evidence of a candidate's creativity.

VII. Service

It is expected that a lecturer will participate in activities that involve service to the department and the university. The department should make its expectations clear in this area and should take care to include this information in its review of a candidate. Such data might include records of attendance at departmental and other meetings; department assignments undertaken; accessibility to students (office hour

~~commitments made and kept, independent studies programs directed, student activities sponsored and advised). Any such activities should be noted and evaluated; any such activities that are assigned as part of the candidate's workload should be subjected to a more rigorous evaluation. While every faculty member is expected to have some activity in this area, it should be recognized that the opportunities for such service will vary from lecturer to lecturer. Exceptionally meritorious service should be carefully documented in preparing the recommendation.~~

~~Review of individuals for promotion to the Senior Lecturer rank must demonstrate service of exceptional value to the University. Among such activities are governance. Also included are activities that involve member's professional expertise in a context outside the University's environment. Activities in both these areas should be carefully documented.~~

VIII. Reviewing Agencies

- ~~1. The departmental review committee prepares the letter of recommendation after appropriate review has taken place. The letter of recommendation should accurately describe all review committee views including those of dissenting members. The departmental recommendation is determined by vote of the eligible Senate faculty. The department's recommendation, with accompanying material, is sent to the office of the appropriate Dean.~~
- ~~2. The Dean of the appropriate college makes an analysis and recommendation based on the materials and recommendation submitted by the department. In addition to the departmental case, however, the Dean has access to departmental and Dean's recommendations from previous reviews. The Dean has authority on merit cases. For individuals appointed at the College level the Associate Vice Chancellor for Academic Personnel has authority for the merit review.~~
- ~~3. The Associate Vice Chancellor for Academic Personnel has authority for Excellence reviews and promotions to Sr. Lecturer, and may request review by the Committee on Academic Personnel when he or she determines that such a review is necessary for proper evaluation.~~
- ~~4. The final decision in all merit and Excellence reviews is based on the documentation presented in the departmental file, as well as the recommendations of the Dean and the Committee on Academic Personnel (in those cases where CAP is asked to review).~~
- ~~5. Requests for reconsideration of a final decision will be governed by Red Binder I-10.~~

II-10 (repurposed)
CONTINUING AND SENIOR CONTINUING LECTURER MERIT REVIEWS
(Revised XX/XX)

This section outlines the requirements for the Merit Review of a Continuing or Senior Continuing Unit 18 faculty. See Articles 7C, 7D, 22, and 43 of the MOU.

I. Eligibility

Continuing Lecturer and Senior Continuing Lecturers are eligible for merit review every 3 years, with effective dates of July 1. Merit cases are due to the Dean's office by March 31. A Continuing appointee may request a 1-year deferral of the review. Such requests must be made via the department chair, to the Dean.

The department shall notify the eligible Unit 18 faculty in writing no less than 45 days prior to the date by which the review materials must be submitted. The notification requirements are outlined in [Article 43.B.2](#) and the appropriate notice templates on the AP website should be used:

- Continuing Lecturer [merit review template](#)
- Senior Continuing Lecturer [merit review template](#)

II. Criteria

The standard for merit advancement for Continuing Lecturers is demonstrated excellence in assigned instructional duties, academic responsibility per Article 3 of the MOU, and other assigned duties.

The standard for merit advancement for Senior Continuing Lecturers is demonstrated exceptional performance in assigned instructional duties, academic responsibility per Article 3, and other assigned duties.

Per [Article 43](#), instructional performance shall be evaluated according to the following criteria, as demonstrated by the materials in the review file:

- Dedication to and engagement with teaching;
- Command of the subject matter and continued growth in mastering new topics;
- Organizing and presenting course content effectively and with demonstrated learning outcomes;
- Setting pedagogical objectives appropriate to the course topic, level, and format;
- Responding to student work in ways commensurate with student performance, course topic, level, and format;
- Awakening in students an awareness of the importance of the subject matter;
- Inspiring interest in beginning students and stimulating advanced students to do complex work;
- Developing pedagogically effective assignments, lecture slides, lesson plans, exams, and/or other course materials and/or prompts for student work; and
- For Senior Continuing Lecturers: Exceptional instructional performance would include introducing new teaching practices into the course(s)

III. Documentation of Performance

The following review materials are required:

- Current CV or bio-bibliography
- A self-reflection/self-statement/self-evaluation of the candidate's performance, teaching objectives, and teaching activities
- ESCIs and written student evaluations
- Term-by-term enumeration of the number and types of courses taught

See [Article 43.C](#) for other, optional review materials that may be submitted and used in the review.

IV. Review Procedure

Once all materials are assembled, and before the departmental review committee evaluates the file, the candidate will be provided an opportunity to inspect all non-confidential materials in the file, pursuant to [Article 10](#). The candidate may also, at this time, request redacted copies of the confidential materials in the file. The candidate will then have 5 days from the date materials are received, to submit an optional written statement in response to or commenting upon the materials. This statement would be added to the review file.

The departmental review committee evaluates the case file and makes a *preliminary* recommendation. This *preliminary* recommendation should accurately ~~describe~~ *reflect* all committee views, including those of dissenting members. ~~The departmental recommendation is determined by vote of the eligible Senate faculty. The review committee will present its recommendation to the eligible Senate faculty within the department (voting faculty, as defined by the department's by-laws). The voting faculty will review the case file, discuss the committee's recommendation, vote on supporting the committee's recommendation, and provide additional analysis as appropriate. These comprise the department's final recommendation.~~ Once the final *department* recommendation is complete, the candidate should be advised of the outcome and, upon request, provided a copy of the department letter. The candidate will have 5 days to submit an optional written statement in response to the departmental recommendation, which will be added to the file. The candidate will sign the Safeguard Statement within AP Folio, and the complete case file is sent to the office of the appropriate Dean.

The Dean of the appropriate college makes an analysis and recommendation based on the materials and recommendation submitted by the department. ~~In addition to the departmental case, however, the Dean has access to departmental and Dean's recommendations from previous reviews.~~ The Dean has authority on merit cases. For individuals appointed at the College level, the Associate Vice Chancellor (AVC) for Academic Personnel has authority for the merit review.

The normative advancement for merit reviews *for Continuing Lecturers* is 2 salary points, which shall be awarded if the candidate's performance has been deemed "excellent". ~~(for Continuing Lecturers) or "exceptional" (for Senior Continuing Lecturers).~~

The normative advancement for merit review for Senior Continuing Lecturers is 3 salary points, which shall be awarded if the candidate's performance has been deemed "exceptional".

Requests for reconsideration of a final decision will be governed by Red Binder I-10.

II-11 (new)
PROMOTION TO SENIOR CONTINUING LECTURER
(As of XX/XX)

This section outlines the requirements for the Promotion Review of a Continuing Unit 18 Lecturer to Senior Continuing Lecturer. See Article 7D and Article 43 of the MOU.

I. Eligibility

In order to be eligible for promotion to Senior Continuing Lecturer, a Continuing Lecturer must have received at least 2 consecutive positive merit reviews as a Continuing Lecturer in the same department. Upon the third normative merit review (minimum of 9 years after achieving Continuing status), a Continuing Lecturer may request a promotional review. This request must be submitted *in writing* to the department chair or equivalent.

II. Criteria

The standard for promotion to Senior Continuing Lecturer is demonstrated exceptional performance in assigned instructional duties, academic responsibility per Article 3 of the MOU, and other assigned duties. Evaluation of academic qualifications for promotion will be based on the candidate's broad-ranging instructional contributions and how they have greatly enhanced the academic mission of the University.

Length of service and continued excellent performance as a Continuing Lecturer alone are not justification enough for promotion.

Per [Article 43](#), instructional performance shall be evaluated according to the following criteria, as demonstrated by the materials in the review file:

- Dedication to and engagement with teaching;
- Command of the subject matter and continued growth in mastering new topics;
- Organizing and presenting course content effectively and with demonstrated learning outcomes;
- Setting pedagogical objectives appropriate to the course topic, level, and format;
- Responding to student work in ways commensurate with student performance, course topic, level, and format;
- Awakening in students an awareness of the importance of the subject matter;
- Inspiring interest in beginning students and stimulating advanced students to do complex work;
- Developing pedagogically effective assignments, lecture slides, lesson plans, exams, and/or other course materials and/or prompts for student work; and
- Exceptional instructional performance would include introducing new teaching practices into the course(s)

III. Documentation of Performance

Once a Continuing Lecturer provides their written request to be considered for promotion, the department shall notify the candidate in writing, no less than 45 days prior to the date by which the candidate's review materials must be submitted to the department. The notification requirements are outlined in [Article 43.B.2](#) and the [notice template](#) on the AP website should be used.

The following review materials are required:

- Current CV or bio-bibliography
- A self-reflection/self-statement/self-evaluation of the candidate's performance, teaching objectives, and teaching activities
- ESCIs and written student evaluations
- Term-by-term enumeration of the number and types of courses taught
- Solicited, confidential extramural letters of evaluation (see Section IV below)

See [Article 43.C](#) for other, optional review materials that may be submitted and used in the review.

The Senior Continuing promotional review will be based on performance since achieving Continuing Lecturer status.

IV. Extramural Evaluations

As part of the review file for promotion to Senior Continuing Lecturer, departments must submit five or more letters of recommendation. These letters may be of two types:

1. Letters from extramural referees with knowledge of the candidate's professional status and teaching record including former students and graduates who have achieved notable professional success since leaving the university, reviewers who can comment on the candidate's command of the subject and continuous growth in the subject field, or any appropriate referee with knowledge of the candidate's performance.
2. Letters from UCSB Senate faculty or Continuing Lecturers, external to the department, who have conducted peer review of the candidate's teaching. Peer evaluation may include such things as classroom visits or videotaping, commentary on course syllabi, reading assignments, and examinations. Qualitative descriptions and opinions are preferable to quantitative ratings or comparative rankings in peer evaluation of teaching.

Both types of letters are subject to the same redaction and confidentiality policies as extramural letters.

The candidate must be given the opportunity to suggest the names of persons who could be solicited for letters of evaluation, and also to indicate in writing the names of persons who, in the candidate's view, might not objectively evaluate the candidate's qualifications or performance for *any* reasons ~~set forth~~ (which may include "personal reasons"). The candidate should know that a request to exclude certain potential evaluators will become part of the review file and that such requests are made regularly and should in no way jeopardize the candidate's case. Furthermore, such requests are generally honored to the extent possible unless they interfere with proper evaluation.

The sample solicitation letter and confidentiality statement must be used when soliciting letters of evaluation (Red Binder I-49 and I-50). Additional wording may be added describing the criteria that are relevant in a particular candidate's case. If wording is added or changed, Academic Personnel must be consulted regarding the revise language prior to sending the solicitation letter.

V. Review Procedure

Once all materials are assembled, and before the departmental review committee evaluates the file, the candidate will be provided an opportunity to inspect all non-confidential materials in the file, pursuant to [Article 10](#). The candidate may also, at this time, request redacted copies of the confidential materials in the file. The candidate will then have 5 days from the date materials are received, to submit an optional written statement in response to or commenting upon the materials. This statement would be added to the review file.

The departmental review committee evaluates the case file and makes a *preliminary* recommendation. This *preliminary* recommendation should accurately ~~describe~~ *reflect* all committee views, including those of dissenting members. ~~The departmental recommendation is determined by vote of the eligible Senate faculty. The review committee will present its recommendation to the eligible Senate faculty within the department (voting faculty, as defined by the department's by-laws). The voting faculty will review the case file, discuss the committee's recommendation, vote on supporting the committee's recommendation, and provide additional analysis as appropriate. These comprise the department's final recommendation.~~ Once the final *department* recommendation is complete, the candidate should be advised of the outcome and, upon request, provided a copy of the department letter. The candidate will have 5 days to submit an optional written statement in response to the departmental recommendation, which will be added to the file. The candidate will sign the Safeguard Statement within AP Folio, and the complete case file is sent to the office of the appropriate Dean.

The Dean of the appropriate college makes an analysis and recommendation based on the materials and recommendation submitted by the department. ~~In addition to the departmental case, however, the Dean has access to departmental and Dean's recommendations from previous reviews.~~ The case is then forwarded to the Associate Vice Chancellor (AVC) for Academic Personnel.

The AVC has approval authority for Senior Continuing Lecturer promotion cases, and if they determine that additional review is necessary for proper evaluation, they may request that the Committee on Academic Personnel (CAP) review the case.

The final decision is based on the documentation presented in the departmental file, as well as the recommendations of the Dean and CAP (in those cases where CAP is asked to review).

If a Continuing Lecturer is promoted to Senior Continuing Lecturer, a minimum of 3 salary points will be awarded. Once promoted, a Senior Continuing Lecturer will be eligible for merit review at least once every three years, and will continue to be reviewed under the standard of “exceptional”.

If a Continuing Lecturer is not promoted to Senior Continuing Lecturer, the candidate will still be assessed for merit as a Continuing Lecturer under the standard of “excellent”. A Continuing Lecturer may request another promotional review at their next normative merit review.

Requests for reconsideration of a final decision will be governed by Red Binder I-10.

H-12
NON-SENATE FACULTY CHECKLIST
FOR YEARS 1-6
 (Revised 11/16)

**Appointments for Years 1-6 (Lecturers and Supervisor of Teacher Education)-
 Checklist of Documents Required**

Submit the original plus one copy of each document, unless otherwise noted.

I. Departmental Recommendation: Lecturer and Supervisor of Teacher Education Appointment and Reappointment form

- Is the salary rate on the Unit 18 Standard Table?
- Is the monthly salary commensurate with the pay basis (i.e. 9/9 or 9/12)
- Is the annual rate is same as the last or current appointment within the department? If not, is justification for the higher salary included?
- If this is the 10th quarter of service has the salary been increased by six percent if there has not already been a six percent within range increase?
- If this is the 10th quarter of service, did a mentoring meeting take place in the 9th quarter?
- Is the Title code appropriate for the appointment?

	9/9	9/12
____ Lecturer	1632	1630
____ Senior Lecturer	1642	1640
____ Supv. of Teacher Ed	2220	2220

- Is the period of appointment appropriate for the service?

	9/9	9/12
____ Fall Qtr	10-1 to 12-31	7-1 to 10-31
____ Winter Qtr	1-1 to 3-31	11-1 to 2-28
____ Spring Qtr	4-1 to 6-30	3-1 to 6-30

- Does the assignment conform to the Departmental Workload Statement? Is the percent time accurately reflected?
- Is the number of quarters of service to date in Unit 18 titles within the department listed?
- Has Graduate Council approval been obtained for graduate level courses?

II. UCSB Biography Form

- If this is the first Unit 18 appointment in the department, is a complete UCSB Biography form included?
- Is the form signed and dated?

III. Teaching Evaluations (original only)

- If this is a reappointment in the same department, are ESCI included?

Other considerations:

1. If a search was conducted, the search report must be approved in UC Recruit before the appointment is submitted. If no search was done, a waiver must have been approved.
2. The Procedural Safeguard Statement is not used for new appointments. However, candidates for appointment, once appointed, do have the right to inspect non-confidential documents in their files and to have a redacted copy of the confidential academic review records contained in the personnel review file received pursuant to APM 220-80 i.
3. When putting forward a case for a non-resident alien (i.e. not currently a US-Citizen or a Permanent-Resident), the department is strongly encouraged to consult with the Office of International Students and Scholars at the time the offer is being considered to be assured that labor certificate processing deadlines are met.

II-12 (repurposed)
PRE-SIX UNIT 18 FACULTY APPOINTMENT/REAPPOINTMENT CHECKLIST
(Revised 11/16)

For All Appointments/Reappointments:

Departmental Recommendation ([Lecturer and Supervisor of Teacher Education Appointment and Reappointment Form](#))

- Is the salary rate on the Unit 18 Faculty Pre-Six Year Lecturer salary scale (Table 15)?
- Is the job code appropriate for the appointment?

	<u>9/9 pay basis</u>	<u>9/12 pay basis</u>
Lecturer	1632	1630
Supervisor of Teacher Education	2220	2220

- Does the assignment conform to the department's current Instructional Workload statement?
- Has Graduate Council approval been obtained for graduate level courses?
- If the appointee concurrently holds another appointment, have you:
 - Identified this in the appointment form?
 - Coordinated this Unit 18 appointment/assignment with the other department/campus?
 - Considered the impacts this appointment may have with respect to appointment averaging on this and the primary assignment (see RB II-1 and the Appointment Averaging [slides](#))

For Initial Appointments:

- Is the appointment term limited to a maximum of 1 academic year?
- Is an up-to-date CV included?
- Is a complete, signed, and dated UCSB Biography form included?

2-year Reappointments

These reappointments follow an initial 1-year appointment

- Is the appointment term defined for 2 academic years, except where prescribed in RB II-2?
- Has the Pre-Six Assessment (see RB II-3) been conducted and the assessment feedback form included?
- Is the average appointment % time the same in Year 1 and Year 2 of the reappointment?
- Has a 1-salary-point salary increase been included?

3-year Reappointments

These reappointments follow the 2-year reappointment and subsequent 3-year reappointments (as applicable)

- Is the appointment term defined for 3 academic years, except where prescribed in RB II-2?
- Has the Pre-Six Academic Review (see RB II-4) been conducted?
- Have all the Academic Review materials (including the final outcome letter) been included?
- Is the average appointment % time the same in all 3 years of the reappointment?
- Has a 1-salary-point salary increase been included?

Supplemental Assignments

- Is the job code appropriate for the appointment?

	<u>9/9 pay basis</u>	<u>9/12 pay basis</u>
Supplemental Assignment	1649	1648

- Have you considered the impacts this assignment may have with respect to appointment averaging on this and the appointee's primary assignment? (see RB II-1 and the Appointment Averaging [slides](#))

**DOCUMENTS TO BE SUBMITTED BY THE DEPARTMENT
EXCELLENCE REVIEWS AND SUBSEQUENT MERIT REVIEWS**

(Revised 9/20)

All personnel review cases are submitted via AP Folio

I. Departmental review committee letter of recommendation

Accurate and analytical letters of recommendation from the departmental review committee are essential in the review process. See Red Binder II-10 for further detail of content of departmental recommendations

- Are the effective date and recommended salary clearly stated?
- Is the letter an accurate, extensive, and **analytical** representation of the case?
- Is the final departmental vote included (e.g. 10(yes)-0(no)-0(abstentions)-3(not voting))? Is there an indication of how many were eligible to vote?
- If the case contains extramural letters, are letter writers identified **only** by coded list, with no identifying statements?
- Are all areas of review covered: ~~ability in teaching, competence in the field, performance in instructional duties~~, academic responsibility and other assigned duties?
- If there is a recommendation for an acceleration, are the reasons for the acceleration specifically stated?
- Is all relevant information from the Departmental letter accurately entered on the case up-load screen?

II. Letters of evaluation solicited by the department (*Excellence Review or Promotion only*)

- Have all letters been coded, on all copies?
- If the letters were sent via email, is a copy of the email and any attachment included?
- Was the proper wording used in the solicitation letter (Red Binder ~~II-10~~-50)?
- If different versions of either the letter or the materials went out, is a sample of each included?
- Is a Coded list of referees, along with a brief biography of each included with the case?
- Do the codes on the letters match the codes on the list and the codes used in the departmental letter?
- Does the list clearly indicate if the referees were candidate suggested, department suggested, or independently suggested by both?
- Is a copy of the redacted letters given to the individual included?

III. Complete CV

- Is the CV up to date?
- Have all links to supporting documents and one-of-a-kind items been verified?

IV. *Self-assessment of other accomplishments and activity*

- Has the self-reflection/self-statement/self-evaluation of the candidate's performance, teaching objectives, and teaching activities been included in the case?*

~~**IV. -Safeguard Statement-**~~

The candidate must sign an on-line safeguard which will be forwarded with the departmental recommendation. If it is difficult or impossible to obtain this document, the Chairperson should explain the situation and indicate in what manner he/she has attempted to meet the requirements outlined in the form.

- Has the candidate signed the safeguard statements? The case may not be forwarded until the candidate has signed.
- If there are no confidential documents (e.g. external letters, minority opinion letter), the appropriate box under #5 should be checked.
- Are copies of everything the candidate has provided, or been provided, included with the case?

VI. Evaluation of the teaching record.

At a minimum, two sources must be included in the case. ESCI summary sheets and scores for questions A and B are mandatory.

- Is the B&P printout, or similar listing of classes included in the case?
- On the B&P printout, or similar listing of classes, is it noted which classes have ESCI's included with the case?
- Does the file accurately indicate which course evaluations were done via hard-copy and which were done on-line?
- Has the second source of teaching been clearly identified on the coversheet?
- If a self-assessment of teaching was submitted, is it included with the case?

| VI. **Other Materials submitted by the candidate**

- Are all materials identified as candidate submitted?
- Were all materials considered and evaluated as part of the departmental review?
- Have all links to supporting documents been verified?

II-16
**LECTURER AND SUPERVISOR OF TEACHER EDUCATION: PROCEDURAL SAFEGUARD
STATEMENT**
(Revised 4/16)

Informational only: all safeguards are to be completed via AP Folio

PRIOR TO DEPARTMENTAL REVIEW:

1. I was informed that I was to be reviewed for this personnel action and of the process as described in MOU Article 7A, 7B, 7C, or 7D (as applicable) ~~and~~ as well as Article 22 and Article 43, and I was informed of relevant deadlines for submission of materials.
2. I had the opportunity to ask questions, supply information and evidence, and add material to my file in preparation for the review. (~~Article 7B.F2, F.3, and F.4.~~)
3. I was informed whether or not letters of evaluation were to be sought as part of this personnel action.
4. If letters were sought
 - A. I had an opportunity to suggest names of evaluators; and
 - B. I had the opportunity to submit, in writing, names of persons who, for reasons set forth by me, might not provide objective evaluations.
5. I was informed whether or not there were confidential documents (i.e. external letters, minority opinion reports) in my department review file and of my right to review a summary of any such documents.

Yes, there are confidential documents in my file (proceed to #6)

No, there are not any confidential documents in my file (proceed to #7)

6. If yes to #5, I was provided the contents of the confidential documents (i.e. external letters, minority opinion reports) in my file by means of:

A. Redacted Copies

C. Chose not to receive contents

B. Oral Summary

7. I had the opportunity to inspect all non-confidential documents in the review file.
8. I had the opportunity to provide a written statement in response to or comment upon all materials in the file.

FOLLOWING THE DEPARTMENTAL REVIEW PROCESS:

9. I was informed of the departmental recommendation and the substance of the evaluation under each of the applicable review criteria by means of:

A. Copy of Departmental Recommendation

B. Oral Summary

C. Chose not to be informed

10. I was informed of my right to make written comments, within five working days, to the Chair (or appropriate person) regarding the departmental recommendation. I was aware that these comments would be included in the file and made available to other voting faculty in the department.
11. I was informed of my right to make written comments regarding the departmental recommendation to the Dean and that these comments would be included in the file and available to other reviewing agencies outside of the Department.

I HAVE SUBMITTED THE FOLLOWING ADDITIONAL MATERIALS:

Suggested names of evaluators (in accordance with 4A above).

Names of persons who might not provide objective evaluations (in accordance with 4B above).

A written statement in response to materials in the file (in accordance with 8 above)

A written statement about the departmental recommendation to the Chair (in accordance with 10 above).

A written statement about the recommendation to the Dean (in accordance with 11 above).

REVIEWING AGENCY REPORTS

I request that copies of reviewing agency reports (Dean, CAP, and any correspondence between them) be provided to me after the conclusion of my review

I do not wish to receive copies of reviewing agency reports (Dean, CAP, and any correspondence between them) at the conclusion of my review, but understand that I may request them at any time in the future.

SIGNED _____ DATED _____

PRINT NAME _____ DEPARTMENT _____

III-1
TEMPORARY RESEARCH APPOINTMENTS
General Information
(Revised 2/21)

Titles in this section are to be used for individuals involved in research and do not have formal teaching responsibilities. Questions concerning the use of staff titles for individuals involved in research should be directed to Human Resources.

Policies

The campus policies for Discipline and Dismissal (Red Binder IX-20), Non-Senate Academic Grievances (Red Binder IX-25), and Layoff and Involuntary Reduction in Time (Red Binder IX-30) are applicable to non-represented appointees in this section. Represented appointees in these series are governed by the applicable Memorandum of Understanding (MOU) *between the University and the UAW (Academic Researchers Unit, RA)* articles on Corrective Action and Dismissal (Article 6), Grievances and Arbitration *Procedures* (Article 7) and Layoff and Reduction in Time (Article 11).

The campus policy and procedures for recruitment are set forth in Red Binder Section VII.

Deadlines for submission of merit/promotion requests

All merits and promotions for individuals in the Professional Research, Specialist, and Project Scientist series will be effective July 1.

Requests for advancement must be submitted according to the following schedule:

<u>Series</u>	<u>Submit to:</u>	<u>Due Date</u>
Professional Research Academic Departments ORUs	Dean's Office Academic Personnel	March 1 March 1
Project Scientist; <i>Asst, Assoc, Full</i> Specialist	Academic Personnel	April 1

Service limitations

For all series, six months or more of service, with or without salary, in any fiscal year counts as one full year of service for advancement eligibility purposes.

Initial appointments and reappointments prior to the effective date of the first advancement review for represented employees must be for one-year unless a shorter term may be justified based on the work, funding, or programmatic need. Reappointments following the first advancement review must be for a minimum of the normative time at rank and step.

Junior Specialists may not be appointed at this rank for more than three years.

For non-represented employees, appointments or reappointments are normally made for one year at a time. All appointments are term appointments with a stated end date.

All appointments are term appointments with a stated end date.

Appointees in research series may be placed on Short Work Break in accord with Red Binder VI-18 and the MOU.

No further notice of non-reappointment is necessary for appointments at less than 50% for any period of time, or for appointment of less than eight consecutive years in the same title or series.

Notice of non-reappointment must be given if the employee has served at 50% or more for eight or more consecutive years in the same title or series (APM 137-30) and Articles 21, 22, and 26 of the MOU. Written Notice of Intent not to reappoint must be given at least 60 days prior to the appointment's specified end date. The notice must state (1) the intended non-reappointment and the proposed effective date; (2) the basis for non-reappointment including copies of any supporting documentation; and (3) the employees right to respond within 14 days and the name of the person to whom they should respond. Within 30 days of the Notice of Intent, and after review of any response, the University will issue a written Notice of Action to the employee. Pay in lieu of notice may be given.

Recall appointments in any temporary research title may not exceed 43% time, alone or in combination with other recall appointments. Appointments are requested using the [Academic Recall Appointment Form](#). Recall appointments are to be entered into UCPATH using the Recall Non-Faculty Academic title (3802 or 3812).

Titles not specifically discussed in the Red Binder may not be used without prior approval by the Academic Personnel Office and will be subject to campus practice and APM policy.

III-5
PROCEDURAL SAFEGUARD STATEMENT
TEMPORARY ACADEMIC TITLES-
(Revised 2/20)

Informational only: all safeguards are to be completed via AP Folio

PRIOR TO DEPARTMENTAL REVIEW:

1. For non-represented appointees: I was informed that I was to be reviewed for this personnel action and of the process as described in APM 160, 310, 311, 330, 340 and 375 as appropriate.
For represented appointees: I was informed that I was to be reviewed for this personnel action and of the process as described in Memorandum of Understanding, Articles 21, 22, and 26 as appropriate.
2. I had the opportunity to ask questions, supply information and evidence, and add material to my file in preparation for the review.
3. I was informed whether or not letters of evaluation were to be sought as part of this personnel action.
4. If letters were sought (e.g., for promotion)
 - A. I had an opportunity to suggest names of evaluators; and
 - B. I had the opportunity to submit, in writing, names of persons who, for reasons set forth by me, might not provide objective evaluations.
5. I was informed whether or not there were confidential documents (i.e. external letters, minority opinion reports) in my department review file and of my right to review a summary of any such documents.
 Yes, there are confidential documents in my file (proceed to #6)
 No, there are not any confidential documents in my file (proceed to #7)
6. If yes to #5, I was provided the contents of the confidential documents (i.e. external letters, minority opinion reports) in my file by means of:
 A. Redacted copy C. Chose not to receive contents
 B. Oral Summary
7. I had the opportunity to inspect all non-confidential documents in the review file.
8. I had the opportunity to provide a written statement in response to or comment upon all materials in the file.

FOLLOWING THE DEPARTMENTAL REVIEW PROCESS:

9. I was informed of the departmental recommendation and the substance of the evaluation under each of the applicable review criteria by means of:
 A. Copy of the departmental recommendation

B. Oral Summary

C. Chose not to be informed

10. I was informed whether or not the department vote for the recommendation was unanimous or by a strong or a narrow majority.
11. I was informed of my right to make written comments, within five working days, to the Chair (or appropriate person) regarding the departmental recommendation. I was aware that these comments would be included in the file and made available to other voting faculty in the department.
12. I was informed of my right to make written comments regarding the departmental recommendation to the dean *or AVC, as appropriate*, and that these comments would be included in the file and available to other reviewing agencies outside of the Department

I HAVE SUBMITTED THE FOLLOWING ADDITIONAL MATERIALS:

Suggested names of evaluators (in accordance with 4A above).

Names of persons who might not provide objective evaluations (in accordance with 4B above).

A written statement in response to materials in the file (in accordance with 8 above).

A written statement about the departmental recommendation to the Chair (in accordance with 11 above).

A written statement about the recommendation to the dean *or AVC* (in accordance with 12 above)

REVIEWING AGENCY REPORTS

I request that copies of reviewing agency reports, if any be provided to me after the conclusion of my review.

I do not wish to receive copies of reviewing agency reports, if any at the conclusion of my review, but understand that I may request them at any time in the future.

SIGNED _____ DATED _____

PRINT NAME _____ DEPARTMENT _____

III-16
SPECIALIST SERIES
(Revised ~~2/21~~)

I. Definition

The Specialist series is used for academic appointees who engage in specialized research, professional activity, and University and/or public service, and who do not have any teaching responsibilities. See APM 330 for System Wide policy on Specialists. Represented employees in this series are governed by the applicable Memorandum of Understanding (MOU) Article 26 of the MOU provides guidance specific to the Specialist series.

II. Ranks and Steps

- A. Jr. Specialist I-II
- B. Assistant Specialist I - III
- C. Associate Specialist I - IV
- D. Specialist I - IX

III. Appointment and Advancement Criteria

Appointees to the Specialist series are expected to use their professional expertise to make scientific and scholarly contributions to the research enterprise of the University and to achieve recognition in the professional and scientific community. Specialists may participate in University and/or public service depending upon funding source and the duties of the position.

The following qualifications are general guidelines for each rank:

Junior Specialist: Appointees should possess a baccalaureate degree (or equivalent degree) or have equivalent research experience. Appointees at this level enable research as part of a team

Assistant Specialist: Appointees should possess a master's degree (or equivalent degree) or have five years of experience demonstrating expertise in the relevant specialization. Appointees at this level enable research as part of a team and may provide some independent input into the planning and execution of the research.

Associate Specialist: Appointees should possess a master's degree (or equivalent degree) or have five to ten years of experience demonstrating expertise in the relevant specialization. Appointees normally provide considerable independent input into the planning and execution of the research, have a record of academic accomplishments, including contributions to published research in the field, and a demonstrated record of University and/or public service.

Specialist: Appointees should possess a terminal degree (or equivalent degree) or have ten or more years of experience demonstrating expertise in the relevant specialization. Appointees normally provide considerable independent input into the planning and execution of the research, have a significant record of academic accomplishments, including contributions to published research in the field, and a demonstrated record of University and/or public service.

Specialists appointed into the series prior to July 1, 2015 are not subject to the degree and experience requirements listed above.

In judging a candidate for appointment or promotion to a position in this series, the following criteria are provided as guidelines and may be used flexibly where deemed necessary.

- 1. Performance in research in the defined area of expertise and specialization.
- 2. Professional competence and activity.
- 3. University and public service

IV. Term of Appointment

- A. *Junior Specialists may not be appointed at this rank for more than three years.* There are no *other* limits on service at any *other* level in this series.
- B. Appointments or reappointments are to be made based on the service limitations indicated in Red Binder III-1 and, for represented employees, in the MOU.

V. Compensation

- A. Individuals appointed to this series are compensated on the salary scales established for the Specialist Series on a fiscal year (11 month) basis.

Without salary appointments in this series will occur rarely and will require evidence of external funding. Individuals who hold a primary affiliation with and are funded by another academic institution or outside agency may more appropriately be appointed as Research Associate or Research Fellow (Red Binder III-20.)

- B. Off-scale salaries are allowed within the same limits and policies as ladder faculty off-scale salaries. (Red Binder I-8)
- C. Salaries are subject to range adjustment.
- D. Each source that provides compensation for service in this series must permit research.

VI. Requests for Appointment and Advancement

Appointment

Appointment cases are to be submitted via AP Folio and using the checklist of documents to be submitted by the Chair for appointments (Red Binder III-7). Particular attention should be paid to assuring the department provides justification for the level of appointment and analytical evaluation of the candidate and his or her accomplishments.

Reappointment

Reappointments are to be submitted via the reappointment and modification module of AP Folio.

The following applies to Junior Specialists only:

Junior Specialists are normally appointed for a term not to exceed one year. Reappointment of up to one additional year is possible where warranted. An additional third year may be requested by exception, but under no circumstances may a Junior Specialist be appointed in the rank more than three years.

Junior Specialists do not undergo merit reviews. Automatic movement to Junior Specialist Step II will occur after one year at step I. Normal advancement will occur after one year at step II for promotion to Assistant Specialist.

Advancement: Merit and Promotion

Advancement cases are to be submitted via AP Folio and using the checklist of documents to be submitted by the chair for research reviews (Red Binder III-9). All advancement actions are based on the individual's achievements. Normal advancement will occur after *one year at step at the Junior level*, two years at step at the Assistant and Associate level and after three years at the Full Specialist level, steps I-IX, and after four years at step IX and within Above Scale. Any advancement requested prior to that time will be considered an acceleration and must be justified as such. Merits are based on the academic record since the time of last review while promotions are based on the career academic record. Advancement to Above Scale status involves an overall career review and requires work of sustained and continued excellence with national or international recognition, outstanding professional achievement, and highly meritorious service. See Red Binder I-43 for further guidance regarding Above Scale status.

All merits and promotions will be effective July 1. Completed cases must be submitted to the Academic Personnel Office by **April 1**, preceding the effective date. Cases received after the due date will be returned to the Department and will not be processed. A missed deadline may not be used as justification for retroactivity in a future review.

Requests for deferral of non-mandatory reviews must be submitted by the deadline established by the department. Appointees in the Specialist series must undergo a performance review at least once every five years, including an evaluation of the record in all review areas. This review may not be deferred. If the candidate does not turn in materials by the departmental due date, the department will conduct the review based on the materials available in the department as of the due date

Chair/Director Letters of Recommendation

The Chair/Director's letter of recommendation for appointment or advancement should include an evaluation of the candidate's work and an evaluation of the candidate's contributions to the group effort, if relevant. In addition to the foregoing, recommendations for promotion must provide documentation of the scientific, technical, or otherwise creative contributions of the candidate (as contrasted to contributions to a group effort). Each unit should establish set procedures for evaluation of Specialist series appointments and advancements and development of the letter of recommendation. While review done solely by the Director or PI is acceptable, a fuller review, including input from other equal or higher ranking individuals in the unit is preferable.

Bio-Bibliography

It is the responsibility of each Specialist to maintain an up to date bio-bibliography (bio-bib). The bio-bib should contain information ending at the campus cut-off date of January 31, or the date established by the candidate's department if an earlier date has been established. Information that falls beyond that date will not be considered in the review. Bio-bibs must follow the bio-bib template available in the Forms section of the Academic Personnel web-site, and the instructions in Red Binder I-27 excluding the Teaching section.

External Evaluation

While extramural letters of evaluation are not required for appointment, promotion, or advancement to Above Scale in the Specialist series they may, in some cases, be helpful in evaluating the candidate's record. When letters are solicited, the sample letter for solicitation of extramural evaluators (Red Binder I-49) is to be used, with the following wording inserted as appropriate:

_____ is being considered for (an appointment/promotion to) Associate Specialist/Specialist in the (department/unit). Appointment (or Promotion) to Associate Specialist/Specialist within the UC system requires evaluation in the areas of: 1) specialized research, 2) professional competence and activity, 3) university and public service. [Sample wording for evaluation request: e.g., I would greatly appreciate your evaluation of _____'s work.]

For promotion cases add: In assessing the academic record of the candidate, please keep in mind the significant disruptions the University experienced as a result of COVID-19. In March of 2020, just as the Winter Quarter was ending, the UCSB campus was closed and our faculty rapidly transitioned to remote work. All campus research facilities including labs and libraries were closed; travel was halted; access to external facilities and archives ceased; and opportunities for professional engagement and visibility were restricted.

At the same time, many employees had to provide fulltime childcare or dependent care, as our local daycares and other facilities closed. Some had to work and teach in home environments that presented significant technical and logistical obstacles.

It is our expectation that these unprecedented circumstances be taken into consideration in the evaluation of _____'s contributions since Winter 2020. Although our standards for quality and excellence have not changed, we wish to be realistic about the constraints that employees experienced during this difficult time, and the impacts and consequences of these limitations on research, even after a return to more normal activities

Reviewing agencies reserve the right to request that letters be solicited in any appointment or advancement case if it is determined that more information is necessary to support the proposed action.

VII. Approval Authority

Action

All actions

Authority

Associate Vice Chancellor for Academic Personnel

VI-4
CHILDBEARING LEAVE AND PARENTAL LEAVE
(Revised ~~2/22~~)

- A. Academic appointees are eligible for childbearing and parental leave as guaranteed by applicable state and federal law, including but not limited to, the Federal Family and Medical Leave Act (FMLA), the California Family Rights Act (CFRA), and the California Fair Employment and Housing Act (FEHA). In addition, the University provides leave benefits as follows:
- B. An academic appointee who accrues sick or vacation leave shall be granted childbearing leave with full pay to the extent of their sick or vacation leave balance. Childbearing leave may also be covered as a Family and Medical Leave (APM 715). Family and Medical leave, if applicable, will normally run concurrently with approved childbearing leave.
- C. An academic appointee who does not accrue sick leave and who has served in their title or any faculty title for at least one year will receive full pay for up to 8 weeks during the period of time they are unable to assume their normal University obligations due to the birth of a child.
- D. An academic appointee who does not accrue sick or vacation leave and who has served in their title for less than one year will receive full pay for approximately the period that would be accrued during the appointment in accordance with the accrual rates in APM 710-18. If additional time is needed, leave without pay will be granted for the necessary period. However, members of the Academic Senate will be covered by C) above, regardless of length of service.
- E. Academic appointees are eligible for Pay for Family Care and Bonding (PFCB) for up to eight weeks at 70% pay. To have PFCB applied, approved leaves must meet eligibility criteria and be formally designated under FMLA and/or CFRA. *Represented employees may be eligible for PFCB under different terms; check the appropriate memorandum of understanding.*
- F. Academic appointees are eligible for parental leave for purposes of carrying out childbearing and/or childrearing responsibilities. Whenever possible, parental leaves should be requested at least three months in advance. Parental leave without pay may be granted for up to one year to any academic appointee for the purpose of caring for a child. Normally, this unpaid leave, when combined with childbearing leave and/or Active Service Modified Duties, shall not exceed one year for each birth or adoption. A leave cannot be approved beyond the end date of the appointment.
- G. Requests for childbearing leave or parental leave must be submitted via the on-line leave module in AP Folio and are subject to approval by the Dean or Associate Vice Chancellor for Academic Personnel. A childbearing leave request should include a statement of the projected delivery date. The period of the leave may be adjusted as necessary after approval.
- H. Represented academic employees are eligible for childbearing leave to the extent allowed in the appropriate memorandum of understanding and applicable state and federal law.
- I. Graduate Student Researchers are eligible for up to six weeks of paid leave for pregnancy, childbirth, or related medical conditions for the period prior to, during, and after childbirth and up to two additional weeks of unpaid leave for baby bonding. The total period of combined paid pregnancy, childbirth, medical, and sick leave (Red Binder VI-3 H) may not exceed six-weeks within an academic year.

VI-7
OTHER LEAVES
(Revised 9/21)

- A. An academic appointee may be granted a leave with or without pay to attend a professional meeting or for University business. If the leave is for seven calendar days or less, APM 752 or applicable memorandum of understanding articles apply and the Department Chair or Director has authority. If the leave is without pay, the leave must be entered into the payroll system.
- B. Leaves of 8 or more calendar days are covered by APM 758 and 759 and applicable memorandum of understanding articles. With the exception of bereavement and jury duty, leaves not covered by vacation or sick time require approval of the appropriate Dean or the Associate Vice Chancellor for Academic Personnel. Applications for such leave are made via the on-line leave module in AP Folio. Leaves of more than 30 calendar days must be entered into the payroll system. See APM-758 or applicable MOU for jury or bereavement leave.
- C. Academic employees may be granted up to a one-year leave of absence without salary for professional development or personal reasons upon approval of the appropriate Dean or the Associate Vice Chancellor for Academic Personnel.
- D. Extension of a leave of absence beyond one year, whether with or without pay is not automatic and is granted only when there is a clear benefit to the campus. *The approval process for such a leave shall take into consideration the impact of the leave on the teaching, research, and service obligations of a department.* If an academic employee member accepts an academic or professional position elsewhere, the presumption is that additional leave will not be granted. Leaves that extend beyond one year require approval of the Associate Vice Chancellor for Academic Personnel. *Leaves of absence which are of less than one year in duration and involve non-sequential quarters but repeat in multiple years must be approved by the Associate Vice Chancellor for Academic Personnel after the third quarter.*
- E. *In addition to complying with University policies on conflict of commitment and outside activities (APM 025), academic appointees on an approved leave of absence without pay must also comply with all University policies involving University intellectual property, conflict of interest, and the use of University resources. See APM 759, Appendix A for a list of other relevant University policies.*
- ~~E~~F. Special Research leaves may be granted to allow a faculty member to accept a fellowship from an external agency. Such fellowships normally require a full release from Professorial responsibilities. In situations where the funding agency pays the faculty member directly, the faculty member will be put on a leave without salary. In situations where the funding is administered through UCSB the faculty member will be placed on a leave with partial pay reflecting the percentage of pay supported by the fellowship, funded from the appropriate source.

If the faculty member is receiving a supplement to the leave in exchange for sabbatical leave credits, that portion of pay will be reflected on the Professorial appointment as sabbatical leave in the payroll system. Faculty should be aware that not all fellowships include funding for benefits and should consult with the College prior to the period of the fellowship to determine the best options for their situation. The College providing the supplement may require a return to UCSB service, similar to the return to UC service required for sabbatical leaves.

VI-14
EXTRAMURALLY FUNDED RESEARCH
(Revised **2/22**)

Payment During the Academic Year

During the academic year a faculty member may not use grant funds to earn in excess of his or her regular 100% salary. The faculty member may, however, with the permission of the Chair and Dean, use the grant funds in place of a portion, or all, of his or her regular state funded salary for a limited amount of time. This is called a release to grant, it is **not additional compensation**. If the release is for **50% time or more** *more than 50% time*, the salary being paid from the grant funding must be paid under a Professional Research title, rather than the Professor title. Payments are made on the same basis and at the same pay rate as the Professor appointment (9/12). The earn code used is REG. A release for **less than 50% time** *50% time or less* may be managed via a funding change in the Professorial position in UCPath.

A faculty member may be paid from a fellowship administered through UCSB. Payments during the academic year are considered leaves with pay (see Red Binder VI-7E).

Payment during the summer:

During the summer a faculty member may earn additional compensation from extramural contracts and grants (Red Binder VI-10.) The payments are made using the Professional Researcher- 1/9th title code and pay rate, and the earn code **ACR**. Additional research compensation during the summer period is calculated using the Daily Factors 19-day Chart. The chart is used to determine the percentage of time and effort equivalent to the number of summer days worked. The total percent time for each day in the summer may not exceed 100%. However, total earnings in a calendar month may exceed 100% as indicated on the Daily Factors 19 day chart. (Red Binder VI- 12) Payment is to be issued at the pay rate in effect at the time of the service.

Funding restrictions:

While faculty are in general allowed to receive up to a maximum of 3/9ths summer pay, some funding sources may contain restrictions that further limit the allowable total. Faculty and departmental staff must observe these limitations.

For example, faculty earning summer compensation from NIH sources, the NIH salary cap must be observed. If the NIH cap figure is lower than the faculty member's annual salary rate, it will not be possible to earn a full 3/9ths from the NIH grant. The NIH cap figure must be used as the annual rate for the summer payments, and the 19-day chart and the maximum of 57 days must still be observed. Funds subject to the NIH cap are paid out using the earn code of **ARC with a pay rate equal to or less than the NIH cap figure**.

It is possible for the faculty member to receive summer compensation from other sources as long as the total does not exceed 3/9ths. Additional sources may include; summer session teaching, chair stipends or payment of an NIH salary supplement (title code 3998). The salary supplement may not be paid from contract or grant funds. Acceptable supplement sources include gift or endowed chair funds or other unrestricted funds. NIH salary supplements are paid on a flat rate basis using the earn code of **AAC**.

VI-18
SHORT WORK BREAK
(Revised ~~2/20~~)

An employee may be put on Short Work Break (SWB) in specific situations where there is a break in paid service to the University. SWB should only be used when there is an intent for return to paid service within a specified period of time. The return does not necessarily have to be to the same job. SWB must be used in compliance with other Academic Personnel Manual, Red Binder, and applicable MOU policies.

SWB does not constitute an offer of future employment. Appropriate processes for future appointments must be followed according to the appropriate Red Binder and contractual policies.

During SWB the employee may not perform any duties for the University. SWB may be used in the following situations:

Academic Student employees (GSRs, TA, Associate, Reader, Remedial Tutor)

The employee may be put on SWB status during summer or during academic quarters in which there is no appointment. SWB is limited to four consecutive months and may only be used when there is an intent to return to student employment at the end of the SWB.

Lecturers (pre-six or Continuing)

The employee may be put on SWB in between quarters of active employment. *For pre-six lecturers, this only applies during a 1-, 2-, or 3-year appointment term.* The employee may or may not be eligible for a benefits bridge. ~~SWB is limited to two consecutive quarters (plus summer). Pre-six Lecturers must have an approved job to which they will return at the end of the SWB.~~ *For 9/9 pre-six appointments, the UCPath record must be terminated at the end of the 1, 2 or 3 year commitment. The effective date of the Termination transaction should be based on the pay period end date of the last quarter worked in that commitment term. See Article 7A.A.4.*

Research appointments

The employee may be put on SWB during periods of an approved appointment when a break in funding occurs and no work is being performed. Research SWB is limited to four months.

At the end of a SWB the employee must either return to paid employment or the job must be ended.

The Short Work Break matrix, <https://ap.ucsb.edu/resources.for.department.analysts/ucpath/>, provides additional guidance regarding the use of SWB.

VI-26
SEPARATIONS FROM THE UNIVERISTY
(Revised ~~7/19~~)

Resignation or Retirement

Senate Faculty

A faculty member may only resign or retire as of the end of an academic quarter (pay end date of October 31, February 28 or June 30). Faculty should strive to notify the department as far in advance as possible of the separation. It is preferable that the notification be done in writing. ~~The ,with the~~ department ~~providing must provide a copy~~ *notice of the separation* to the appropriate Dean's office and to Academic Personnel.

In cases of resignation, the voluntary termination transaction must be initiated in UCPATH by the department. In cases of retirement of an Associate or full Professor or Lecturer/Sr. Lecturer with Security of Employment, the faculty member attains emeriti status immediately upon retirement. The retirement transaction and ~~rehire establishment~~ into emeriti status should be initiated by the department following the instructions in ~~the Frequently Asked Questions~~ *Resources for Department Analysts* > UCPATH on the Academic Personnel website at <http://ap.ucsb.edu/>.

All other academic employees

Academic year employees may only resign or retire as of the end of an academic quarter, using the appropriate pay period end dates dependent on the employee's 9/9 or 9/12 status. Fiscal year employees may resign or retire at any time. The department is responsible for entering the termination of the job or the separation from the University into the payroll system.

Death

When a current academic employee or emeritus faculty member dies, the department should notify the appropriate offices in a timely manner following the procedures below. This insures proper dispersal of benefits to survivors and it enables agencies to keep their records up-to-date. It also allows the Chancellor to publicly recognize the individual's service to the campus, and in memory of service, the campus flag will be lowered.

Procedures:

1. Notify the Chancellor, Associate Vice Chancellor for Academic Personnel and the Vice Chancellor for Administrative Services and supply a brief biography which includes:
 - a. Full name, title, and department
 - b. Date of birth
 - c. Date of death
 - d. Name and address of next of kin
 - e. Length of service to the university
- ~~2. ——— Notify the Benefits Manager (ext. 2489).~~
3. The department initiates the UCPATH involuntary termination transaction.

VII-1
POLICIES ON OPEN RECRUITMENT FOR ACADEMIC APPOINTMENTS
(Revised ~~12/19~~)

It is the policy of the University of California not to engage in discrimination against any person seeking employment with the University. In addition, it is the policy of the University to undertake affirmative action, consistent with its obligations as a Federal contractor. Conducting open searches for employment positions supports the University of California in fulfilling its requirements under federal and state laws. The University of California Affirmative Action Guidelines for Recruitment and Retention of Faculty, Office of the President, Academic Advancement, are available at:

<http://policy.ucop.edu/doc/4000376/NondiscrimAffirmAct>

An open recruitment is required for all academic positions unless the recruitment is exempt under the specific criteria listed in section II below.

I. Recruitment types and requirements

As appropriate, a Department will recruit both within and outside the workforce to obtain diverse pools of qualified applicants. For Senate faculty the level of position advertised is based on the level of search approved by the Executive Vice Chancellor. Non-Senate searches may be at a specific rank or at open rank.

External Recruitments are open to all applicants and are listed in various off-campus publications and the UC Recruit job board. Typically, external recruitments generate the largest and most diverse applicant pools consistent with the campus commitment to equal opportunity and diversity.

In some unique situations, an internal recruitment may be utilized so long as it is consistent with equal employment and affirmative action objectives and results in a diverse pool of qualified applicants. Internal recruitment requests require consultation, prior to the beginning of the recruitment, with the Office of Equal Opportunity & Discrimination Prevention and Academic Personnel.

Recruitments may be conducted in the following ways:

One-time recruitment: The recruitment is advertised for the duration of the recruitment for a specific position or positions. Most often the one-time recruitment will be for a single hire, however occasionally a single recruitment may yield multiple hires. This may be either the result of multiple positions being available at the beginning of the search, or may occur through a special request to make multiple hires. Requests to make multiple hires from a Senate Faculty search originally designated as a single hire will be initiated by the Department Chair and submitted to the Executive Vice Chancellor via the Dean. The Dean will be asked to provide additional information concerning the FTE to be used for the additional hire, and the Executive Vice Chancellor will consult with the Academic Senate as appropriate. Requests to make multiple hires from a non-senate search originally designated as a single hire are to be addressed to the Associate Vice Chancellor for Academic Personnel.

Standing pool recruitment: A standing pool recruitment may be used to fill multiple positions at various times for ~~temporary~~ research or teaching positions. ~~Pooled recruitments may be advertised for no longer than one year.~~

- ~~Pre-six Unit 18 Lecturer~~ All-standing pool recruitment advertisements must be terminated on ~~March 31-October 31~~, annually. New advertisements may begin after ~~April 1 November 1~~ of each year. ~~This is to ensure compliance with federal data reporting requirements.~~
- *Researcher title standing pool recruitment advertisements may be set to open on any date but must have a final date no longer than one year (365 days) from the open date. New advertisements may begin after the close of the previous pooled search.*
- *Departments are encouraged to initiate their replacement search plans in advance of their existing pool closure dates to allow for adequate processing time.*
- ~~This is~~ *These search time limits help* to ensure compliance with federal data reporting requirements.

II. Exemptions from Open Recruitment Policies

A. Appointment to temporary academic administrator positions by individuals already holding an academic appointment

- B. Recall appointments
- C. Visiting appointments in the Professor, Researcher, Specialist, or Project Scientist series. The individual must be a “true visitor” i.e. on leave from (or for the Professorial series only, retired from) an equivalent position at another academic institution.
- D. Appointees within Unit 18, who have previously undergone open recruitment in the same department for a Unit 18 position without a ~~significant~~ break in service *due to non-reappointment. See RB II-1. —*
- E. Positions requiring student status, e.g. teaching assistant, graduate student researchers or trainee status, e.g. Postdoctoral Scholars.
- F. A modification of the current position from the Professorial series to the Lecturer SOE series or one non-senate research series to another (e.g. Project Scientist to Researcher) assuming the original appointment had either an open search, an approved waiver or is exempt from search due to without salary status.
- G. Without salary appointments.

Although open recruitment is not required in the above situations, a department may choose to conduct a search. When a search is conducted, all appropriate policies and procedures must be followed.

III. Search waivers

An open recruitment, available to all qualified applicants, is a preferred hiring mechanism since it provides substantial assurance of compliance with University policy and the quality of the individual offered a position. However, special circumstances may on occasion justify a waiver of the search requirement.

A. Non-Senate Titles

1. Emergency Hire: Unexpected circumstances result in insufficient time to recruit: (e.g., unexpected illness, leave of absence of faculty, emergency research need.) Waivers will be granted with a specific end date.
2. Spousal or Domestic Partner Hire: the hire of a spouse or domestic partner in order to initially hire or retain a Senate faculty member. Waivers will be granted for the duration of employment in the job series.
3. PI/Co-PI/Leadership Status: the proposed appointee is the principal investigator, co-principal investigator of a grant/contract, or has been named in the grant/contract for a specific leadership role. Supporting documentation must be available in the departmental file and may be requested as necessary. Waivers will be granted for the duration of the contract or grant.
4. Continuation of Training: the proposed appointee is currently a graduate student researcher or postdoctoral scholar at UCSB and will remain for a short period to complete a research project begun while in the current status. Waivers may not be granted for longer than one year.
5. Research Team: the proposed appointee is part of an existing research team of a new faculty member relocating from another academic institution and will be continuing in the same capacity in the lab. The waiver is valid for the duration of appointment in the same title within the same team.

Consistency with the criteria above does not guarantee a waiver will be granted.

Search waiver requests are initiated by the department through UC Recruit.

The Director of Equal Opportunity & Discrimination Prevention will provide information regarding the impact of the proposed hire on affirmative action goals and the Campus Affirmative Action Plan. The request will then be reviewed by the Dean or Associate Vice Chancellor with approval authority for the requested action. If the request is approved, the department may then submit an appointment case. If the request is denied, an open search will be required.

An existing waiver with an end date may be extended if the appointment continues to meet the criteria under which the waiver was originally granted. The request to extend the waiver may be included with the reappointment request and must specify the new end date.

B. Senate Faculty

1. Partner Hire: the hire of a partner in order to initially hire or retain a Senate faculty member. In such cases, the partner should have a record and credentials that provide evidence he or she would likely be among the top candidates if an open search had been conducted.
2. Exceptional Opportunity: an unusual opportunity to hire an individual who has qualifications that are so uniquely outstanding as to justify the waiver. In all these cases the candidate would be on the short list of top candidates if a full search were conducted, and the individual would be highly sought after by peer institutions. Examples would include an internationally recognized leader in a particular field (e.g., a Nobel Laureate or a Pulitzer Prize winner), an exceptional scholar who would make special contributions to diversity in a particular program or field; or a highly sought after individual who is on the market for a very limited time period. Exceptional Opportunity are normally expected to be at the Full Professor level, but under exceptional circumstances, justified by compelling reasons, they may be at a lower level.
3. President's Postdoctoral Fellowship Recipients: the proposed hire is a current or former recipient of a UC President's or Chancellor's Postdoctoral Fellowship.

Consistency with the criteria above does not guarantee a waiver will be granted.

Search waiver requests are initiated by the department through UC Recruit. The department memo must address the following:

- Which category of waiver is being requested.
- The departmental vote on the request for a waiver.
- A report of the departmental discussion of three major issues: 1) the candidate's qualifications; 2) the candidate's programmatic fit within the departmental academic plans; and 3) the source of the FTE and the impact of the appointment on the departmental FTE plan
- In the case of an Exceptional Opportunity request, an explanation why it is not possible to consider the candidate as an applicant in an open search (for example, the individual under consideration is available only for a limited period of time.)

Requests will be routed to the Dean for review. As part of his or her recommendation, the Dean should address the items outlined in #3 above, as well as the programmatic and budgetary impact within the department and on a divisional or college wide basis. If the Department has not identified an FTE, the Dean must do so. The Executive Vice Chancellor will consult with the Director of Equal Opportunity & Discrimination Prevention, the Council on Planning and Budget, and the Committee on Academic Personnel prior to making a final decision. The Director of Equal Opportunity & Discrimination Prevention will provide information regarding the request in the context of the Campus Affirmative Action Plan and placement goals. The Council on Planning and Budget will provide guidance regarding resource allocation for the position. The Committee on Academic Personnel will provide an initial assessment of the candidate's qualifications for an academic senate position. If the request is approved, the department may submit an appointment case. If the request is denied, an open search will be required.

In recruitments that are limited to either the Assistant or Associate level, if a candidate is promoted to a higher level at their home institution while the search is in progress, or an appointment at a higher rank is justified by the need to make a competitive recruitment offer (such as a competing offer at a higher rank) the department may request permission to allow appointment at the next highest rank. The request will be forwarded from the department, via the Dean, and Associate Vice Chancellor for Academic Personnel, to the Executive Vice Chancellor. If the request is approved, the department may then submit the appointment case with a request for the higher rank. Additional external evaluation may be required to support the higher rank appointment.