RED BINDER

UCSB Campus Policies and Procedures
For Academic Personnel

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SECTION I: LADDER RANK FACULTY AND OTHER ACADEMIC SENATE TITLES

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DEADLINE DATES

(Revised 4/15)

The following deadlines have been established for submission of ladder faculty advancement cases from the Department to the College:

Dean's Authority cases: 2nd Monday in November
Assistant Professor Deferral Requests:

Expanded Review cases: 2nd Monday in December
(See Red Binder I-33 for definition of Expanded Review)

Completed cases must be submitted to the office of the appropriate Dean by the appropriate deadline 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. Recommendations must be based on materials available before September 15 except for extramural letters delayed by circumstances beyond the department's control. Departments may institute earlier cut-off dates. Both the Dean and the Associate Vice Chancellor for Academic Personnel must be notified if the department plans to change its existing cut-off date. It may also be appropriate in some promotion to tenure cases to add materials available after September 15.

In situations where a reviewing agency requests additional information in the case, a deadline for submission of those materials will be included in the request. If the materials are not received by the stated deadline the case will proceed through the review process without the materials. Failure to submit requested materials may have an effect on the outcome of the review. Failure to submit the requested materials may not be used as the basis for a reconsideration request.

PRIORITY DESIGNATIONS

(Revised 4/15)

Personnel cases shall be reviewed in priority order based on the date received and the following designations:

Priority 0:	Retentions
Priority l:	Appointments
Priority 2:	Tenure Review
Priority 3:	Career Review (Promotion to Professor, merit to Professor VI or Above Scale)
Priority 4:	Accelerations, Appraisals and all other Expanded Review actions
Priority 5:	Dean’s Authority merits and deferrals

ELIGIBILITY, DEFERRAL AND MANDATORY REVIEW

(Revised 4/23)

I. Service Credit

Six months or more of service in any one fiscal year normally count as one full year of service for merit eligibility. Less than six months of service in any one fiscal year does not count. The normal period of service prescribed for each salary level does not preclude more rapid advance in cases of exceptional merit nor does it preclude less rapid advance. Service as an Assistant Professor or Lecturer with Potential SOE (including time as an Acting or Visiting Assistant Professor) is limited to 8 years. Service at the Associate Professor/Lecturer SOE and Professor/Sr. Lecturer SOE levels is unlimited.

II. Extensions of the 8-year limit for Assistant Professors, Lecturers with Potential Security of Employment, or Assistant Researchers

Under specific circumstances, an Assistant Professor, Lecturer with Potential Security of Employment, or Assistant Researcher may request an extension of the 8-year limit. An individual may have no more than two extensions during the probationary period and requests may not be made after the tenure/SOE/Associate Researcher review has begun. Requests for extension are to be addressed to the Associate Vice Chancellor for Academic Personnel, via the appropriate Chair, Director and Dean or other control point. Extensions of the clock may be requested for the following reasons:

a. Childbearing or Childrearing: A request may be made to allow the employee to care for any child who is, or becomes part of the employee's family. The employee must be responsible for 50 percent or more of the care of the child. The birth or placement of more than one child at a time constitutes a single event of birth or placement.

b. Serious Health Condition: A request may be made when the employee's ability to pursue his or her duties is significantly disrupted by a serious health condition or disability, by the need to care for a close family member who is seriously ill, or the death of a close family member. Supporting documentation must be provided with the request for extension.

c. Significant Circumstance or Event: A request may be made when significant circumstances or events beyond the individual's control disrupt the individual's ability to pursue his or her duties. Examples include, the effects of a natural disaster or extraordinary delays in the provision of research resources committed to the individual which are necessary for his or her research activities. Supporting documentation must be provided with the request for extension.

When an extension of the tenure clock has been approved the individual should not be expected to have produced more or performed at a higher level than an individual who has not extended the tenure clock. The file is to be evaluated without prejudice as if the work were done in the normal period of service. Extension of the tenure clock does not delay eligibility for appraisal, merit, or promotion. However, the extension may be used as the basis of a request for deferral of any of these actions for a period equivalent to the extension.

III. Regular Ranks, Steps, Normal Periods of Service

The Assistant Professor/ Lecturer PSOE rank contains steps I-VI, although steps I and VI are not used at UCSB. The Associate Professor/Lecturer SOE rank contains steps I-V, although step V is not used at UCSB. The normal time of service at each step within the Assistant/PSOE and Associate/SOE rank is 2 years, except for service at the special steps of Assistant Professor/Lecturer PSOE V and Associate Professor/Lecturer SOE IV (Red Binder I-37). The Professor/Sr. Lecturer SOE rank contains steps I- IX as well as Above Scale. Normal service at steps I-IV is 3 years. Service at step V and above may be for an indefinite time: however, normal service is 3 years at steps V through VIII and 4 years at step IX or Above Scale. Eligibility for normal advancement occurs after the normal time of service at each step. Early advancements abbreviating normative time of review are only permitted at the rank of Assistant Professor/LPSOE in cases of promotion (see RB I-36 for guidance on expectations for acceleration) as well as at the special steps of Assistant Professor/LPSOE V and

Associate Professor/LSOE IV (see RB I-37 for important parameters governing advancement at the special steps). If the outcome of a merit review is no change in rank, step, or off-scale, the candidate will continue to be eligible for advancement in rank or step each year until the advancement in rank or step occurs. If advanced within-step, further advancement within step or in rank/step will only be allowed when the normative number of years at step since previous advancement in off-scale have passed. Normal periods of service in other academic series are described in the Red Binder section covering the series.

IV. Advancement Effective Dates

The Office of Academic Personnel annually publishes promotion and merit eligibility lists for each department.

All merits and promotions will be effective July 1. It is possible, based on availability of funding, that payment for merits and promotions may be delayed. If this occurs, payment will be made retroactively at the time funds become available.

V. Mandatory Five-Year Reviews

Senate faculty and appointees to the Research, Project Scientist, and Specialist series must undergo a performance review at least once every five years, including an evaluation of the individual's record in all review areas. This review may not be deferred. Most appointees in these series are reviewed for merit advance every two to four years, depending on rank and step. Appointees eligible for merit advancement or promotion may request deferral of review, so long as the time period since their last review is not more than four years. Non-submission of materials will not constitute automatic deferral. If an individual does not turn in materials by the departmental due date, the department will conduct the mandatory review based on the materials available in the department as of the due date.

Faculty holding 100% administrative positions in the SMG program or covered by APM 240 or APM 246 are exempt from mandatory five-year reviews since they face a separate review policy.

VI. Deferral of Review

Deferral of non-mandatory reviews will be automatic if a tenured Senate faculty member does not submit materials by the departmental due date, and no case is forwarded by the department by the established submission deadline.

Deferral requests made by appointees in the Research, Project Scientist, or Specialist series must state the reason for the deferral. The request along with the endorsement from the Chair or Director must be submitted via AP Folio.

Deferral requests made by Assistant Professors or Lecturers PSOE must be accompanied by a letter of recommendation from the Chairperson that explains the reasons for the deferral and describes the progress that will be expected prior to the next review. Review for promotion to tenure or Security of Employment will normally take place by the end of the 6th year of service but may be deferred until the 7th year. The faculty member's deferral request along with the Chairperson's letter of recommendation must be submitted via AP Folio. Deferral beyond the 7th year will not be considered. The Formal Appraisal review may not be deferred, except in cases of extension of the tenure clock.

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CAREER EQUITY REVIEW
(Revised 2/21)

A Career Equity Review (CER) may be initiated by or on behalf of tenured ladder faculty, and Lecturers SOE and Senior Lecturers SOE who are members of the Academic Senate. The CER is designed to examine cases in which normal personnel actions from the initial hiring onward may have resulted in an inappropriate rank and/or step; i.e., a faculty member's rank and/or step is not commensurate with the candidate's merit as assessed in the areas of research, teaching, professional activity, and service and in terms of the standards appropriate to the candidate's field, specialization, and cohort. A CER provides the opportunity to pay special attention to equity in relation to the standards in the discipline and to determine if current placement on the academic ladder is consistent with the application of those standards as they relate to rank and step. Recommendations and decisions will be based on the criteria used for normal promotion and merit reviews; but CERs will consider the entire career record of the individual, as well as recent activity.

A CER is not an alternative to the reconsideration procedures that apply to particular reviews (Red Binder I-10) nor is it an alternative to cases that should be brought before the Committee on Privilege and Tenure. A CER is not intended to address salary compression or other salary issues related to market, therefore, requests for adjustment of off-scale supplement will not be considered. Final decisions of CERs will not be subject to reconsideration or appeal. Reports generated during the CER process will be subject to the same policies and procedures as reports generated during the regular review process. A CER is considered an Expanded Review case and will be subject to review by CAP. CERs may be requested or conducted no more frequently than once every six years. Only faculty who have held an eligible title (see above) for at least four years can be considered for a CER.

Procedure:

A CER may be initiated by the candidate through his or her department in parallel with an advancement case submitted for the faculty member through the regular advancement process, or through the appropriate Dean as a separate personnel action during the same review cycle as an advancement case. A CER may also be recommended to the Associate Vice Chancellor for Academic Personnel by any reviewing agency in the course of a personnel review. The reviewing agency will inform the Associate Vice Chancellor that it believes a CER should be considered and the Associate Vice Chancellor will report this recommendation to the faculty member. The candidate will then decide whether to initiate a CER and, if so, whether to initiate it in the department or with the Dean. Once initiated, it will follow one of the paths outlined below.

Possible justification for a CER may include, but is not limited to, the following: 1) the rank/step was inappropriately low at the time of initial hiring and in consequence the faculty member is currently placed too low on the ladder; 2) the outcome of one or more prior personnel actions has had a negative effect on subsequent personnel reviews, and in consequence the faculty member is currently placed too low on the ladder; 3) specific works and contributions have been overlooked or undervalued by the department or other reviewing agencies and in consequence the faculty member is currently placed too low on the ladder; 4) the faculty member's cumulative record warrants placement higher on the academic ladder.

A CER may be initiated in the following ways:

1. During consideration of a normal advancement, either the candidate or the department may initiate a CER by including a letter with the review file that identifies the area of the record that the candidate or department believes was not previously properly evaluated and/or the area of the record that indicates the candidate was not hired at the rank/step commensurate with the accomplishments at the time of hire. The department must first consider, analyze and vote on the proposed merit/promotion action. The department will then consider if based on the justifications for a CER, further advancement is supported. The candidate's letter will be included in the merit/promotion case that is sent forward by the department.

2. At the time a merit or promotion case is being prepared in the department, a CER may be requested by an individual faculty member through the Dean. The request in such cases will be treated as confidential. The Dean will inform the Associate Vice Chancellor for Academic Personnel of the request for review. The Dean

will then form a confidential ad hoc committee to oversee the assembly of materials for a career review. The Dean will also assure that all appropriate procedures concerning safeguards and access occur as outlined in the Red Binder. The committee will include members of the School or Division, and at the Dean's discretion may contain members of the Department and/or representatives from outside the School or from other UC campuses. The committee will not evaluate the concurrent merit/promotion action but will have access to the departmental letter of recommendation for the pending action. The committee may request additional information from the candidate. The committee will provide an analysis of the CER equivalent in depth to that of a Department letter. The ad hoc committee's dossier, and their letter analyzing the case, will be forwarded to the department for consideration, analysis, and vote. The CER case will then be forwarded along with the merit or promotion case to the Dean and continue through the normal review process for an Expanded Review case.

3. During the course of a normal personnel review, a Dean, CAP or the Associate Vice Chancellor for Academic personnel may recommend a CER. A letter will be sent from the Associate Vice Chancellor to the faculty member informing the faculty member that a reviewing agency has recommended a CER as part of the advancement review. If the faculty member wishes to be considered for a CER, the review may be initiated via either of the two procedures listed above. Reviewing agencies are encouraged to review the files of every academic appointee for appropriate inclusion in the CER program coincident with the normal review cycle. Input from the department chair may be requested via the Associate Vice Chancellor for Academic Personnel if warranted.

   Any CER that is initiated by a reviewing agency and that requires review for promotion, or merit to Professor Above Scale must contain extramural letters. In the event that the original case does not contain extramural letters, the agency preparing the CER will be responsible for solicitation of such letters.

Because the CER is processed in conjunction with a merit/promotion case, two decisions will be made at the conclusion of the review; one based on the request for CER and one based on activity during the current review cycle. If the CER decision leads to an adjustment of rank and step, the candidate's salary at the new rank and step will include the same off-scale supplement as the salary prior to the review. A final decision for an adjustment in rank and/or step will occur effective the next July 1. No retroactive action will be approved.

OFF-SCALE SALARIES

(Revised 4/23)

I. Off-Scale Appointments

In instances of market pressures, efforts should be made to separate the issue of academically merited rank and step from the issue of the requisite salary needed to recruit a member of the faculty. For those academic areas in which market pressures are a consideration, departmental recommendations for appointment should reflect (a) a recommended rank and step appropriate to academic and professional achievement; and (b) an appropriate off-scale together with documentation of the market conditions that justify it.

II. Off-Scale Advancements

Off-scale supplements are retained in on-time, normative advancements. When properly justified an advancement with an increase in off-scale salary may be approved in situations which cannot properly be accommodated through advancement in step only. For example:

a) a record of performance that exceeds that expected for a one-step increase but does not meet the expectations for a one-step acceleration.

b) the record of performance does not justify advancement to the next step at the normative time but does represent a level of performance that supports a within-step increase.

c) recognition of special services or other achievements not normally recognized by on-schedule or accelerated step advancement;

Red Binder I-36 provides further guidance regarding accelerated actions. Red Binder I-44 provides further guidance regarding the use of off-scale salary in retention efforts.

For faculty already at Step IX, consideration for further merit increase within Step IX is reserved for cases of highly meritorious contributions to teaching, research, professional activities, and service, which fully meet the performance expectations for faculty at the top step of the professorial ladder and which demonstrate progress towards eventual advancement to Above Scale status. An increase within Step IX may not exceed the dollar amount of an Above Scale two-increment advancement.

A faculty member may receive no more than two within-step increases in the off-scale supplement. Additional off-scale increases may not be granted unless accompanied by advancement in rank or step.

RECONSIDERATION

(Revised 10/17)

After a decision has been announced in a personnel case, the departmental Chairperson may request a reconsideration of the decision. This course of action may be pursued only when there is new documentation relating to accomplishments already in place prior to the deadline for submission of materials (Red Binder I-2), or when the department can make a compelling argument that reviewing agencies neglected important features of the case. Evidence for the latter ground for reconsideration is most often provided by the candidate, based on the copy of non-confidential documents and the redacted copy of the confidential academic review records contained in the personnel review file received pursuant to APM 220-80-i. Chairpersons should avoid "routine" or "automatic" resubmission of requests for reconsideration. On the other hand, when a compelling argument for reversal of the original decision can be documented, the Chairperson should carefully present the evidence for reconsideration. Reconsideration of a case must be requested and the review completed, prior to the submission of any subsequent personnel case.

Departmental practices are variable on the degree of consultation with the voting faculty necessary in a case for reconsideration. While a new vote on a case for reconsideration is desirable, it is not required. However, the voting faculty must be consulted, and the form of this consultation, as well as the comments expressed by voting faculty, are to be reported in the Chairperson's letter. The candidate has the same rights of access as in the original case. The Chair should ensure that any additional letter writers or faculty members expressing comments are not identified in the departmental letter except by means of a coded list appended to the departmental letter. The reconsideration case will undergo the same review process as the original case, with the provision that no ad hoc committee review will take place during the reconsideration process.

Note: For guidelines concerning reconsideration of a terminal year appointment see Red Binder I-39.

ACTING ASSISTANT PROFESSOR/ LECTURER PSOE APPOINTMENTS

(Revised 4/19)

I. Procedure of Automatic Regularization

At the time of initial appointment the department may request that a candidate who has not yet completed the Ph.D. dissertation be appointed as Acting Assistant Professor or Acting Lecturer with Potential Security of Employment (PSOE), with automatic regularization to Assistant Professor or Lecturer PSOE, at the same salary rate, upon receipt of the Ph.D. by a specified expected date.

If automatic regularization is not requested at the time of the initial appointment, a completely new review is necessary when the title is changed to Assistant Professor or Lecturer PSOE.

When automatic regularization of an Acting Assistant Professor or Acting Lecturer PSOE has been approved in conjunction with the initial appointment, the Department Chair must provide the Office of Academic Personnel with a letter from the graduate dean of the institution conferring the Ph.D. which indicates the date that the appointee completed all formal degree requirements. If this date precedes the beginning of the service period for the next quarter the change in title will be effective at the beginning of that quarter.

II. Procedure for Reappointment

Each appointment as Acting Assistant Professor or Acting Lecturer PSOE shall be for a specified term, not to exceed one year. The total period of service with these titles is limited to two years. If the Ph.D. is not received by Winter Quarter in the initial year, and a second year in that title is sought, the department must submit by March 1 a request for reappointment which includes an explanation of the candidate's failure to complete the dissertation and an assessment of the likelihood of completion.

The request is reviewed by the Dean with the Associate Vice Chancellor taking authority for the final decision. The normal expectation is that the Ph.D. shall be completed, and regularization takes place, during the first year of service. Reappointment as an Acting Assistant Professor or Acting Lecturer PSOE is not automatic.

If the candidate receives reappointment but does not finish the Ph.D. in the second year, the appointment is self-terminating. If the department wishes to rehire the candidate at a later date, it will be necessary to request retention of the FTE and to initiate an open search.

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POLICY ON TEACHING LOADS

(Revised 4/19)

The campus has a small number of tenured Associate or Full Professors who are inactive in research, but are competent teachers. Department Chairs may be asked by a Dean to assign teaching responsibilities significantly greater than the departmental average to particular individuals in this category. Faculty members not involved in research should carry higher teaching loads, as long as this practice does not result in students having less contact with scholars active in research. This practice should not be used to reduce average loads for researchers; research cannot substitute for normal teaching responsibilities. Appointees in the Lecturer Security of Employment series are expected to carry a heavier teaching load than Professorial series appointees. The teaching load of a Lecturer SOE series appointee is expected to be lower than that of a temporary or continuing lecturer, in recognition of the additional responsibilities of a Lecturer SOE series appointee, including professional and/or scholarly achievement and activity, and University and public service.

There is an opportunity for steady salary progression for an excellent teacher inactive in research through a transfer to the Lecturer SOE series. When it is appropriate, the Deans, the CAP, the Associate Vice Chancellor, and the Executive Vice Chancellor will encourage transfer to this series. Where it is not appropriate, the only alternative presently available is to remain on the professorial ladder with a heavier teaching assignment. In implementing this policy, consideration can be given to unusual levels of University service or for professional activities directly beneficial to the University.

Additional teaching assignments for a research-inactive tenured professorial series faculty member are best initiated through informal agreement between the faculty member and the Department Chair.

In implementing this policy it should be kept in mind that it is the Chair's responsibility to assign teaching responsibilities and to balance load equitably, taking into account supervision of graduate students and service to the department. This policy statement supports the Chair in encouraging adjustments to teaching loads for purposes of equity.

The proposed changes appropriate for faculty inactive in research should be discussed in advance with the Dean, as should any assignment involving a quarter or more without classroom teaching.

The above practices are not intended for those persons whose research goes slowly because of the difficulties of the field, or to those who are working productively but in an unfashionable area. It applies only to those faculty who are no longer devoting a reasonable portion of their energies to productive research, or to those whose accomplishments over an extended period of time are so minimal that it would appear to be a mistake for them to devote their energies to research.

RETENTION OF ACADEMIC FTE

(Revised 4/19)

All vacancies in Senate faculty FTE provisions resulting from death, resignation, retirement, transfer, or change in program, will be returned to the College's or School's Provision for Unallocated Academic Staff pending review of workload and program requirements. Please note that there are no exceptions to this procedure. In the case of a vacant FTE due to a terminal appointment of an Assistant Professor or Lecturer PSOE, the FTE will normally be retained by the department.

A request to retain FTE should be made during the annual call for departmental FTE plans, normally in the fall quarter. The department should base the justification for the retention of the provision on the following concerns:

a. Specific program needs related to the provision under review, and a statement as to how these needs fit within the programmatic structure of the department as a whole.

b. Review of departmental workload over the previous five years. Each entity may request the FTE retention data available from the Budget and Planning office. Workload considerations specific to the position under review, such as graduate student supervision and undergraduate advising, should also be noted.

c. A statement specifying the appropriate level at which the position should be replaced. (Note that vacated ladder faculty positions normally revert to Assistant Professor II. Recommendations for replacement at any higher level require specific justification.)

d. A statement of anticipated impact on the department should the request for retention of the position be denied.

e. A statement of anticipated costs associated with the desired appointment -- start-up costs, space and space modifications, removal costs, etc.

In consultation with the Counsel on Planning and Budget, and the Deans of the Schools and Colleges, retention requests will be reviewed as part of the annual budget review and the annual allocation of faculty FTE provisions.

SENATE FACULTY APPOINTMENTS

(Revised 4/23)

Senate faculty appointments may be made in academic departments or in programs. At UCSB, the term "program" is used not only in reference to those sequences of courses leading to degrees but also to those academic/administrative units that have not yet attained departmental status but "from which academic appointments and promotions are recommended to administrative officers" (Bylaw 55 of the Academic Senate). As such, the provisions of Bylaw 55 shall apply: http://senate.universityofcalifornia.edu/bylaws-regulations/bylaws/blpart1.html

A faculty member's rights are vested in any department or program in which he/she holds a salaried appointment carrying Senate membership. Non-salaried affiliations in departments or programs do not carry with them voting privileges or other rights not explicitly made part of such appointment agreements. A brief description of types of appointments and rights follows.

A faculty member accepting transfer from one department or program to another relinquishes thereby his/her rights in the original department or program.

I. Types of Appointments

1. Salaried appointments in a single department or program.

    a. The appointment is in one department or program

    b. The faculty member's voting rights are vested in the department or program.

2. Joint salaried appointments in departments or programs.

    a. Each appointment carries with it a percent of full time and salary in each department or program.

    b. The faculty member maintains voting rights in each department or program.

    c. When a faculty member is being considered for a merit or promotion, each department or program must provide a recommendation.

    A request for joint appointment, either at the time of initial appointment or related to a temporary or permanent transfer of FTE at a later date, should be discussed and voted upon by the faculty in both departments/programs. The request from both Chairs/Directors, should be sent via the Dean, to the Associate Vice Chancellor for Academic Personnel indicating the vote of the faculty, effective begin date, end date (if any), and percentage of time in each department. Each department is responsible for assuring that a partial FTE has been approved for use.

3. Without salary appointments.
    Faculty who take on full time administrative positions or who are released to specific programs (KITP, Station Q) retain a without salary faculty appointment in their home department. Full voting rights are maintained in the department.

4. Affiliated status

    A Senate faculty member who participates in instructional activities in a department or program in which he/she does not hold a salaried appointment may receive affiliated status in the host department or program.

    a. The faculty member has no voting rights in the host department or program.

    b. The host department or program is not required to vote on the affiliated faculty member's personnel case, but may be asked to provide a statement of departmental activities carried out under the affiliated status.

    c. An affiliated appointment with an indefinite end date may be terminated on the recommendation of a majority of the voting members of the department or program.

    A request for affiliated appointment should be approved by the voting members of the host

department/program with the endorsement of the home department. The request from both Chairs should indicate an effective begin date and end date (if any) and should be submitted to the Associate Vice Chancellor for Academic Personnel, via the Dean.

Senate faculty from another UC campus may be given an affiliated appointment at UCSB. A request from the host department indicating the begin and end date of the appointment as well as the reason for the affiliation should be submitted to the Associate Vice Chancellor for Academic Personnel, via the Dean.

Affiliated appointments are not entered into the payroll system.

5. Other "Professor" titles

For appointments of Adjunct or Visiting Professors refer to Red Binder V-17 and II-28. For Emeriti appointments refer to Red Binder I-70.

II. Appointment Criteria

All new appointments should be consistent with affirmative action guidelines (see Red Binder Section VII).

Non-tenured appointments are made in the expectation that the appointee will meet standards for a tenure appointment by the time that a promotion decision is due. Recommendations for non-tenure level faculty appointments must provide: a) clear evidence of potential excellence in both teaching and research; and b) clear evidence that the proposed appointment relates in a significant manner to established or projected programmatic needs of a department or unit.

Recommendations for tenure-level faculty appointments must provide: a) clear evidence of nationally recognized excellence in published research (or other creative work) as well as evidence of excellence in teaching; b) clear evidence that the proposed appointment is essential to an academic program of high quality and stature; and c) clear evidence of continuing scholarly productivity. For the level of excellence required for specific ranks and steps, consult APM 210-1 d. These criteria are also summarized in Red Binder I-40 through I-43. The difficulties of recruiting at this level of excellence require a considerable investment of time and energy in the recruitment process.

Departments should be prepared to engage in multiple-year searches in order to make the best possible appointments. The open provision for the recruitment will normally be available to the department for the duration of the search process, as long as funding continues to be available.

A recommendation for appointment must fully conform to the highest level of academic excellence and programmatic need. If, after rigorous review, significant and credible doubts exist about a candidate's academic qualifications, the appointment will not be approved.

Furthermore, it is strongly recommended that the Chair discuss the proposed rank, step, salary level, and start-up expenses of a new appointment with the Dean prior to submitting a recommendation for the appointment. A justification for the proposed salary should be provided in the appointment recommendation based on factors such as the qualifications of the individual as they relate to the position and their record of academic accomplishment. Market forces can be relevant in new hires in competitive recruitments, but the salary of a recent departmental hire should not be used to determine the salary of a subsequent hire.

III. Letter to Prospective Senate Faculty Appointees

After discussion with the Dean as described in the preceding paragraph, the department may communicate to the candidate its intention to recommend an appointment.

The recommended wording for department letters to prospective ladder appointees is as follows:

I am pleased to recommend you for an appointment as _____in the Department of_____ at the University of California, Santa Barbara. On behalf of my colleagues, and with the enthusiastic support of Dean_____, I would like to express our excitement at the prospect of your joining our faculty.
According to the procedures of the University of California, formal review of the recommendation is necessary prior to the final approval of your appointment by the Chancellor. The department is recommending that you be appointed as a/an _____ with a 9-month salary of $_____ at 100% time effective, _____. The exact step and annual

salary will be determined by the academic personnel appointment review process. Following the review process, formal offers of appointment are extended by the Executive Vice Chancellor or Chancellor.

IV. Intercampus Deadlines

Departments should be mindful of the Intercampus deadline of April 1. Please refer to APM 510.

V. Offer Deadlines

The department will be contacted by the College or Academic Personnel concerning the response deadline the department wishes to give to the candidate. It is the department's responsibility to notify the College and the Office of Academic Personnel when an offer has been either accepted or declined.

VI. Other Deadlines

Departments should also take into consideration other guidelines established by organizations specific to their field (i.e., Council of Colleges of Arts and Sciences).

When making an offer to 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.

VII. Approval Authority

Rank/Step	Authority
Assistant Professor/Lecturer PSOE II, III, Including Acting titles	Dean
Assistant Professor/Lecturer PSOE IV and V	Associate Vice Chancellor
Associate Professor/Lecturer SOE	Chancellor
Professor, Sr. Lecturer SOE	Chancellor
Affiliated Appointments (0% or without salary)	Associate Vice Chancellor

I-15

DOCUMENTS TO BE SUBMITTED BY THE CHAIR

APPOINTMENTS

(Revised 4/23)

All appointment cases are submitted via AP Folio.-

I. **Departmental letter of recommendation**

Accurate and analytical letters of recommendation from the department are essential in the review process. See Red Binder I-35 for further detail of content of departmental recommendations

- ☐ Are the start date, rank and step all clearly stated?
- ☐ Is the recommended salary on the published salary scale?
- ☐ Is the off-scale supplement correct (if applicable), per off-scale general policies (RB I-8)?
- ☐ Is a salary justification provided?
- ☐ Is the actual vote included (e.g. 10(yes)-0(no)-0(abstentions)-3(not voting))? Is there an indication of how many were eligible to vote?
- ☐ Is the letter an accurate, extensive, and **analytical** representation of the case?
- ☐ If the case contains extramural letters, are letter writers identified **only** by coded list, with no identifying statements?
- ☐ Are the candidate's qualifications, educational background, and area(s) of specialization all discussed?
- ☐ Are all four areas of review covered: teaching, research, professional activity and university and public service?

II. **Extramural letters of evaluation and list of evaluators** (Red Binder I-49)

Extramural Letters

- ☐ For tenured appointments, are there at least 6 letters?
- ☐ For tenured appointments, are at least half of the letters from references chosen by the Chair/Dept independent of the candidate?
- ☐ 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?

Sample Solicitation Letter(s)and/or Thank you letter(s) for unsolicited letters

- ☐ Was the proper wording used in the letter (RB I-49 to I-50)?
- ☐ Is a list of all informational items sent to referees (e.g. CV, Bio-Bib, publications sent, etc, per RB I-46-VI) included? Is a copy of each item included as either part of the case or a one-of-a-kind item?
- ☐ If different versions of either the letter or the materials went out, is a sample of each included?

List of Referees, including brief Biography and indicating who selected referees

- ☐ 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, department or jointly selected?
- ☐ Are the names of everyone who was asked to write included? For those who did not respond is a reason for no response listed?

III. **Complete CV and Academic biography form.**

- ☐ Is the CV up to date?
- ☐ Is the Academic biography form complete, signed and dated?

IV. **Copies of publications**

- ☐ Has a representative sampling of publications been submitted?

- ☐ Have links to electronically submitted items been verified?
- ☐ If items cannot be submitted electronically, have arrangements been made with the Dean's office?

V. **Start-up request information**. (see RB I-18)

- ☐ Have all start-up issues been addressed?

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 and Certification Statement is <u>not</u> 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.

NEW SENATE FACULTY COMMITMENTS
(Revised 2/23)

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 three-year period from the date of appointment. Extension beyond the expiration date may be possible 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 Ocean Walk at North Campus. 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.

SAMPLE START-UP COSTS MEMO

(Revised 04/13)

TO: Associate Vice Chancellor
for Academic Personnel

VIA: Dean

FROM: _____, Chair
Department of _____

RE: Start-up package for _____

In connection with the appointment of _____, the Department of _____ requests the following:

1) Equipment

2) Space needs

3) Summer salary

4) Removal funds

5) Recruitment allowance

6) Housing needs

7) Research/travel funds/OISS Permanent Residency service fees

[These are possible categories for start-up costs, to be requested as needed]

REMOVAL EXPENSES

(Revised 04/18)

Removal expenses may be provided for certain new appointees to academic positions (APM 560-14). For those eligible, removal expenses are paid and taxed in accordance with University and IRS regulations. New appointees are encouraged to consult with their tax advisor regarding the impact of removal reimbursement. Any exceptions to policy, including full removal expenses, must be requested at the time of appointment.

UC Policy (one-half of the total cost)

University policy allows for coverage of one-half of the total eligible costs associated with a single move from one physical location, including the following:

1. Packing, freight and insurance of normal household goods (see definition below), when properly supported by invoices and/or receipts, in accord with Section V of UC Policy BFB-G-13: Policy and Regulations Governing Moving and Relocation.

2. Air coach transportation for the appointee and members of the household or an equivalent amount for other travel in accordance with standard airline fare policies and University travel regulation.

3. Meals en route for the appointee and members of the household in accordance with University travel regulations. If travel is by automobile, the cost of meals is an allowable expense only to the extent that might have been necessary if travel had been by air coach.

An appointee may have the total cost of removal of his/her personal library covered, but only if the library is to be made generally available to students and faculty; otherwise coverage is one-half of the total cost. It will be necessary for the involved appointee to secure from his/her moving company a breakout of the shipping costs for the portion of the shipment that is for library-related materials. Without this estimate, only 50% coverage will be allowed.

Household goods include: personal property such as furniture, clothing, musical instruments, household appliances, and other items which are usual and necessary for the maintenance of a household.

Full Removal

An exception to allow for full removal coverage may be requested by the Department at the time the start-up commitment is request. If full removal is provided, all reasonable removal costs will be covered for a single move, subject to the following conditions.

Appointees receiving 100% removal will have travel for themselves and members of the household made on the lesser of one-way coach fare, or actual expenses (airfare or mileage reimbursement, lodging, and meals en route) at UC allowable rates per G-28, Policy & Regulations Governing Travel and G-13, Policy & Regulations Governing Moving and Relocation. Receipts will be required. If, for personal reasons, an indirect route is traveled or the trip is extended, coverage shall be based only on such charges as would have been incurred by the usually traveled route. All appointees must purchase the least expensive air tickets to the Santa Barbara area.

Prospective employees should be aware that costs for the following cannot be covered:

- transport of trailers, boats, other motorized recreational vehicles, or more than two motor vehicles
- transport of belongings related to commercial enterprises engaged in by the employee
- transport of building materials
- transport of animals other than household pets
- assembly and disassembly of unusual items such as, but not limited to, satellite dishes, storage sheds or pool tables.

- Canned, frozen or bulk foodstuff.
- Plants

Advance approval will be required for coverage of costs associated with a move from more than one physical location (a staged move) or any other exception to policy.

Although the reimbursement policy outlined in UC Policy BFB-G-13: Policy and Regulations Governing Moving and Relocation does not apply to academic employees, the procedures and processes in G-13 are applicable when managing academic employee removal expenses.

DEPARTMENTAL CHECKLIST FOR ACADEMIC ADVANCEMENT

(Revised 4/23)

This checklist is for the use of the Department Chair, and should not be submitted with the case.

The Department Chair has the responsibility to see that each of the following steps is completed at the appropriate time during any personnel review. **A copy of this checklist must be given to the candidate at the beginning of his or her review.**

All documents included in the case must be relevant to the action under consideration (APM 200-30) and must be in compliance with University and Campus policy and practice relating to confidentiality.

I. Notifying The Candidate

Note: These steps should be taken as soon as possible after receipt of the eligibility list in which the candidate's name first appears.

_____ 1) **Inform the candidate of his or her eligibility for advancement or appraisal.**

_____ 2) **Inform the candidate of the UC criteria for advancement** as set forth in Section 210-1d and 220 of the APM. Include a full clarification of the concrete nature of materials relevant to those criteria, as commonly used in the candidate's department.

_____ 3) **Inform the candidate of the UC review process** as set forth in APM 210-1d and 220. Include in your description both the role and character of higher reviewing agencies and the department's own customary modes of proceeding. Provide candidate with a copy of the Procedural Safeguard Statement.

_____ 4) **Inform the candidate of UC policy regarding academic personnel records** as set forth in APM 160.

_____ 5) **Inform the candidate of any other issues relevant to his/her personnel case.** Be sure to provide an opportunity for the candidate to ask questions regarding any aspect of the review procedures and of his/her case in particular.

_____ 6) **Inform the candidate of the due date** for all pertinent information and material relevant to the criteria for advancement. Be sure to advise the candidate of the consequences of late submission of materials.

_____ 7) **Inform the candidate if letters of evaluation are to be sought in his/her case and provide an opportunity for the candidate a) to suggest names of persons who might be solicited for such letters and b) to indicate in writing the names of persons who, for reasons set forth by the candidate (which may include personal reasons), might not be objective in their evaluation.** Also inform the candidate that the names of scholars writing outside letters who were originally suggested by the candidate, together with any requests not to select a potential evaluator, will be made part of the review file, and that a reasonable request for exclusion of outside evaluators will in no way jeopardize the candidate's case. The candidate should also understand that though such requests are made and honored regularly, there may be occasions when proper evaluation requires that they not be honored. Finally, the candidate should know that both the evaluator's academic stature and the extent, if any, of his/her association with the candidate (personal or professional) will affect how the evaluation is weighted.

_____ 8) **In compiling the list of outside reviewers,** include a "reasonable number" (APM 220-80c) of the candidate's nominees, together with a "reasonable number" of letters from scholars who are not nominated by the candidate and who have not been closely associated with him/her either as colleagues, friends, or collaborators in research. At UCSB, a "reasonable number" is interpreted to mean "half of the letters". There should be adequate representation among the evaluators of University of California faculty members.

II. Developing The Recommendation

_____ 9) **Solicit confidential extramural letters of evaluation** in cases of promotion to tenure, promotion to professor or Sr. LSOE, merit from Professor or Sr. LSOE IX to Above Scale.

_____ 10) **Include with the case a sample copy of the letter used to solicit extramural letters** , 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.

_____ 11) **Assemble all pertinent information** (publications, teaching evaluations, solicited letters, etc.) in accordance with instructions set forth in the Red Binder sections related to specific actions. Be sure to include the total record of accomplishments appropriate to the review period.

_____ 12) **Provide the candidate with an opportunity to inspect all <u>non-confidential</u> documents included in the review file.** Candidates should be told that they have access to non-confidential material.

_____ 13) **Provide the candidate with the opportunity to request a redacted copy of all confidential letters and documents included in the file without revealing the identity of the sources.** One set of the redacted material must also be included in the file.

_____ 14) **Provide the candidate with an opportunity to include a written statement responding to or commenting upon material in the file.** This should be done in sufficient time to allow the candidate's response to be taken into account in the departmental letter.

_____ 15) **Inform the candidate that, if at any later point new information is added to the file, he/she will be informed and given an opportunity to comment.**

_____ 16) If an <u>ad hoc</u> review committee will be employed, explain the role and selection of this committee and the candidate's three options (Red Binder I-60).

_____ 17) **Inform the candidate of his/her right to request a redaction of the <u>ad hoc</u> committee's letter and a copy of other reviewing agencies' reports** from the office of Academic Personnel at the conclusion of the review process.

_____ 18) **Consult colleagues in accordance with departmental practice and the rules of voting rights and eligibility established in By-Law 55.** (http://www.universityofcalifornia.edu/senate/manual/blpart1.html#bl55)

_____ 19) **Write a letter of recommendation** in accordance with APM 220-80-e. Note in particular the requirement to present both supporting and opposing views. Be sure the letter is dated and signed.

_____ 20) **Make the letter available for inspection by all departmental members eligible to vote on the case** or by a departmental committee or group established in accordance with APM 220-80-e. At this point any eligible faculty member who voted with the minority may include a "minority opinion" letter if they feel that the Departmental letter does not adequately address the opinion of the minority vote. A minority opinion letter must be submitted by the end of the inspection period to assure its consideration in the review process. All eligible faculty must be provided full access to this document. Any unresolved issues between the minority and majority opinions should be addressed in a Chair's confidential letter (Red Binder I-35)

III. Forwarding The Case

NOTE: These steps should be taken after the Departmental review of the case.

_____ 21) **Inform the candidate orally or, if requested, in writing of the departmental recommendation, the departmental vote, and of the substance of the evaluations under each of the applicable review criteria.** Bear in mind that it is especially helpful for junior faculty to understand concerns regarding some particular aspect of their performance even if there was a strong vote of approval

_____ 22) **Inform the candidate of his/her right to request a copy of the letter setting forth the departmental recommendation, including any minority opinions.** Identities of persons who were the sources of confidential documents are not to be disclosed and minority opinion letters should be provided in redacted format.

_____ 23) **Inform the candidate of his/her right to make written comments, within 5 working days,** to the Chair or directly to the Dean regarding the departmental recommendation. A copy of these comments will be included in the file. If the comments are directed to the Chair, they will be made available for review by the voting faculty. Any unresolved issues between the candidate and the department evaluation should be addressed in a Chair's confidential letter (Red Binder I-35*)*. If the comments are directed to the Dean, they will be included in the file at the time of the Dean's review and will be made available to other reviewing agencies but not to the department.

_____ 24) **Check that the case, as packaged, is complete and properly formatted** (Red Binder I-31 for Dean's Authority merits, Red Binder I-35 for Expanded Review advancements).

_____ 25) **Have the candidate fill out and sign the Procedural Safeguard and Certification Statement on-line through AP Folio.** Forward the case to the appropriate Dean's office.

_____ 26) If an ad hoc is required for promotion to tenure, a Chair's Recommendation for Department Representative memo should suggest up to three faculty members who are eligible to serve as departmental representative. The nominated faculty should: (1) have participated in the departmental review and voted on the case; (2) have familiarity with the research area of the candidate; and (3) be in residence during the quarter the case is likely to be considered. This memo is to be forwarded directly to the Associate Vice Chancellor of Academic Personnel and marked "Confidential." See Red Binder I-60 for sample memo format.

I-23
CASE PREPARATION FOR INDIVIDUALS WITH JOINT APPOINTMENTS
(08/09)

When preparing a case for a faculty member who is jointly appointed in two or more departments, the departments are encouraged to jointly gather and prepare the materials for the case or to share case materials.

In cases requiring external letters the departments are encouraged to solicit letters jointly, or agree to share letters solicited independently. At a minimum, departments should work together to assure that they are not independently contacting the same individuals and that an appropriate mix of evaluators are being contacted.

Departments may choose to make use of an interdepartmental ad hoc committee to provide analysis of the materials in the file. Likewise, a "majority percentage" department may take the lead on a case by independently preparing the case, soliciting letters and writing the main analysis of the record.

Regardless of the method of preparation of case materials or the format of the written analysis, each department must then independently review the analysis and other supporting materials, vote, and prepare an independent departmental letter that provides the information required in RB I-35 #1 as well as any additional independent analysis or comment from the department. That letter may refer back to any joint assessment materials, but should then add any appropriate perspectives and assessments that are unique to the Department. Both the written analysis and the individual departmental letters must be made available to the candidate as part of the safeguard process.

Minority opinion reports or candidate comments in response to a departmental letter are made available only to the faculty in that department and are not shared.

SAFEGUARDS IN THE REVIEW PROCESS

(Revised 06/04)

The following procedures represent established mechanisms at UCSB and within the University of California system for the protection of the rights of individuals who are under review for merit or promotion.

1. The right to timely notification from the department for non-tenure ladder faculty.

   Reference: Red Binder I-22

2. The right of being informed in detail about the "departmental recommendations and of the substance of departmental evaluations" in all reviews for merit, appraisal or promotion, "orally or, upon request, in writing."

   Reference: Academic Personnel Manual (APM) 220-80d and 220-80e

   Procedural Safeguard Statement
   Right to respond in writing to the departmental recommendation

3. In the process of review of an Assistant Professor for formal appraisal, reappointment or promotion, should the Academic Vice Chancellor's tentative decision be to not reappoint or promote, or contrary to the departmental recommendation, the individual (and department chair, by copy of the letter) will be notified of this recommendation. The individual will also be notified of the opportunity to request copies of reviewing agency reports, at which time the department chair will also receive copies. (APM 220-84b)

   The candidate and the Department Chair, after appropriate consultation within the department, shall then have the opportunity to respond in writing and to provide additional information and documentation within 10 working days of notification.

4. After the final administrative decision has been communicated to the candidate, the candidate shall have the right, upon written request, to receive from the Chancellor, or other designated administrative officer, a written statement of the reasons for that decision, including a copy of non-confidential documents and a redacted copy of the confidential academic review records in the personnel review file. (APM 220-80i) The Associate Vice Chancellor for Academic Personnel will act as the Chancellor's designee for the purpose of supplying access to reviewing agency report. Supplying the comments from reviewing agencies will fulfill the campus' obligation to provide a written statement of the reasons for the final decision.

5. If a candidate believes that standard procedures have been violated in the handling of an academic personnel matter, the candidate has a right to submit a grievance to the Academic Senate Committee on Privilege and Tenure.

PROCEDURAL SAFEGUARD AND CERTIFICATION STATEMENT
INSTRUCTIONS TO THE CHAIR
(Revised 7/19)

The Procedural Safeguard and Certification Statement (Safeguard Statement) has been designed to follow the actual steps taken when a candidate is being considered for a personnel action. It is important for the Department Chairperson, as well as for the candidate, to note how each step leads to the forwarding of a recommendation to the administration. For example, the difference between Number 9 and Number 12 on the Safeguard Statement is a matter of timing. Number 9 occurs before the department meets and votes on the case. Therefore, written comments by the candidate under Number 9 would refer to materials on which the case is based and would be routinely considered by the department before the vote is taken. Written comments submitted by the candidate under Number 12 would refer to the recommendation after the department review and could be supplied to the Chair or sent directly to the Dean, who normally will ask the Department for comment.

It is advisable for the Chair to provide a copy of the Procedural Safeguard Statement to a candidate prior to the initiation of a personnel review, so that the candidate is apprised of the steps and safeguards built into the process. The sample Safeguard Statement (Red Binder I-26) may be used for this purpose. The candidate should also be informed that signing the Safeguard Statement does not imply concurrence with the departmental recommendation. It only provides a record of the procedures that were followed in the review of the case. If the candidate feels that all procedures were not appropriately followed, the department should attempt to rectify the problem. If the candidate continues to feel all procedure were not followed, they may submit a separate memo stating specifically which procedures were not followed. The memo will be added to the case along with the signed safeguard statement.

For individuals holding joint appointments, a separate Safeguard must be completed for each department. In the rare case that a department, based on their stated voting procedures, defers to the majority percentage department, a Safeguard Statement will be required for the majority percentage department.

The Procedural Safeguard Statement is to be completed by the candidate via AP Folio and, must be forwarded as part of the departmental personnel case per Section 220-80-c of the Academic Personnel Manual (APM). If in the case of a mandatory review it is 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.

In addition, if any of the following documents have been supplied to the candidate or by the candidate, they must be included in the personnel case when forwarded to the administration:

1. Redaction of confidential documents in the file (7A).
2. Candidate's written statement commenting on material in the file (9).
3. Candidate's written comments regarding the departmental recommendation (12).

In addition to the documentation of the safeguards assured under APM 220-80-c, the Safeguard Statement also allows the following:

- Provides the faculty member the opportunity to elect release of reviewing agency reports to themselves and/or to the department chair at the conclusion of the review.

- Documents that annual reports on outside professional activity have been submitted as required by APM 025.

- Documents that the faculty member attests to the completeness and accuracy of the bio-bibliography included with the case.

SENATE FACULTY ADVANCEMENT: PROCEDURAL SAFEGUARD AND CERTIFICATION STATEMENT

(Revised 2/23)

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 APM 160, 210-1 and 220, and 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.

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, review for advancement to Professor Above Scale)

   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. If an Academic Senate ad hoc committee is to be appointed, I understand that I will be contacted by the Associate Vice Chancellor for Academic Personnel regarding my right to utilize either of the two options listed in Red Binder I-60.

6. 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 #7)

   ☐ No, there are not any confidential documents in my file (proceed to #8)

7. If yes to #6, 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

   ☐ B. Oral Summary

   ☐ C. Chose not to receive contents

8. I had the opportunity to inspect all non-confidential documents in the review file.

9. 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:

10. I was informed of the departmental recommendation and the substance of the evaluation under each of the applicable review criteria.

☐ A. Copy of Departmental Recommendation

☐ B. Oral Summary ☐ C. Chose not to be informed

11. I was informed whether or not the department vote for the recommendation was unanimous or by a strong or a narrow majority.

12. I was informed of my right to make written comments, within 5 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.

13. 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 9 above).

☐ A written statement about the departmental recommendation to the chair (in accordance with 12 above).

☐ A written statement about the recommendation to the dean in accordance with 13 above.

REVIEWING AGENCY REPORTS

☐ I request that copies of reviewing agency reports (Dean, CAP, ad hoc committee 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, ad hoc committee and any correspondence between them) at the conclusion of my review, but understand that I may request them at any time in the future.

CERTIFICATIONS

- I certify that I have filed annual reports on outside professional activities in accord with APM 025 for each year of the review period for this advancement action.

  Reports for the 2017-18 year and earlier may be submitted via AP Folio at https://ap.ucsb.edu/
  Reports for the 2018-19 year and later may be submitted via OATS at https://ucsb.ucoats.org/

- I certify that my bio-bibliography update (bio-bib) is complete, accurate, up to date, and prepared in accord with Red Binder I-27 Instructions for Completion of the Bio-Bibliography.

SIGNED _____ DATED _____

PRINT NAME _____ DEPARTMENT _____ _

INSTRUCTIONS FOR COMPLETION OF THE BIO-BIBLIOGRAPHY

(Revised 4/23)

It is the responsibility of each faculty member and academic employee in a research title to maintain an up to date bio-bibliography (bio-bib). The bio-bib should contain information ending at the appropriate campus cut-off date as follows:

Senate Faculty	September 15
Research series	December 31
Project Scientist/Specialist	January 31

Departments may establish earlier submission dates if they desire. Information that falls beyond the cut-off date will not be considered in the review. Departments may require that the bio-bib be updated and submitted on an annual basis to assist the chair in the annual review of all Senate faculty (APM 220-80 b.)

Contributions in all areas of review that promote equal opportunity and diversity should be listed under the appropriate review area and will be evaluated and credited in the same way as other faculty achievements. Contributions may take a variety of forms including efforts to advance equitable access to education, public service that addresses the needs of diverse populations, or research that highlights inequalities.

Bio-bibs may be maintained in any format (word document, excel document, etc) but must conform to the format described below. A bio-bib template is available via the Forms section of the Academic Personnel website.

Short Curriculum Vitae

The first page of the bio-bib should contain an abbreviated curriculum vitae. The following categories should be included: Education, Area(s) of Specialization, Previous and currently held Academic or Professional Appointments and Professional Organizations.

Research and creative activity

Appointees to the Lecturer SOE series will typically use a single section titled Professional and/or Scholarly achievement and Activity rather than two separate sections titled Research and Professional Activity.

The bio-bib must contain a comprehensive and complete itemized list of publications (or other creative activity) for the entire career. Items should be identified as published, in press, submitted, and in progress according to the following format:

[A] Published work; work that has appeared in final, published format

[B] Work in press; work that has been formally accepted, completed, and is in the process of being published. In-Press work is counted toward advancement and evidence must be supplied documenting the In-Press status

[C] Work submitted; work that has been submitted but not yet accepted. Such work is required to be included in the case. It is not usually counted for the advancement, but it is used as evidence of continuing scholarly productivity.

[D] Work in progress; work that has not been completed and is available for review. Such work is not counted for the advancement, but it can be used as evidence of continuing research activity. Departmental practice will dictate if work in progress is included in the case

A line should be drawn separating all new items from ones which in one form or another were part of the review file underlying the last successful advancement and should be clearly identified with an explicit indication of their subsequent change in status using the following notation system:

* for items previously listed as Work In Press
** for items previously listed as Work Submitted
***for items previously listed as Work In Progress

Footnotes should indicate the number of the publication from the prior review (i.e. previously item B-1). If a change in title has occurred since the last bio-bib, the footnote should also indicate the previous title.

If the previous action resulted in a no-change decision, two sets of lines may be used to differentiate between what was included in the previous case vs. what took place during the review period. The departmental letter should explain the use of two sets of lines.

All copies of publications (including in-press, submitted, and in progress items) and evidence of creative activity are to be provided electronically. Published articles must be the final, published version. All items must be the version that reflects the status of the item as of the departmental cut-off date for submission of materials. Faculty and other academic employees should not have access to modify or switch versions of the documents once they are submitted to the department. Items may not be modified during the course of the review. All links should be verified before submission of the case.

Submission options:

1. Provide a separate link to each individual publication or creative work. Links may be to a locally maintained site or to an on-line publication site. The link must be listed at the end of the "Title and Author" information. The link must go directly to the specific item and must allow access to the full publication.
2. Provide a single link at the top of the Research and Creative Activities section of the bio-bib. A folder may be created that contains all publications and creative work. If this method is used, individual files within the folder must be labeled using the same formatting as the bio-bib, including the item number and title (e.g. A1: The Beginning of Time)

Proof of in-press status documentation should be stored either in a separate folder or along with the in-press items and documents must be clearly labeled to reference the appropriate publication (e.g. A 52 proof of in-press.)

If there are items that cannot be provided electronically, departments should work with their dean's offices (or in the case of academic researcher cases, with Academic Personnel) to facilitate alternate methods of submission. It is assumed that hard-copy submission will occur on a very limited basis.

<u>Teaching (For Senate Faculty only)</u>

The bio-bib must contain an itemized, chronological (by quarter) list of workload since the last successful review. This list should include: quarter and academic year, course number, course title, course format, unit value, enrollment, share of teaching assignment, and indicate if evaluations are available. If the Budget and Planning print out is used information concerning the availability of evaluations must be added.
A line may be drawn or footnotes added to indicate the transition from hard-copy to on-line course evaluations.

The bio-bib should also contain a statement of normal teaching workload for the department overall (e.g., 2-2-1) and a brief explanation of any deviations from this workload (e.g., sabbatical, administrative assignment).

A listing of graduate committee (MA and Ph.D.) service and related information since the last successful

review must also be included. It should be clearly stated if service was as Chair or a member of the committee. The bio-bib should also indicate if the degree was completed during the current review period.

A single link should be inserted at the top of the teaching section of the bio-bib linking to the electronic version of individual course ESCIs and student written evaluations. A separate file or PDF must be created for each course using a standard naming structure: Year, quarter, course. (e.g. 2020-21, Fall, INTR 201.)

Professional Activity

Appointees to the Lecturer SOE series will typically use a single section titled Professional and/or Scholarly achievement and Activity rather than two separate sections titled Research and Professional Activity.

The bio-bib must contain an itemized list of professional activities in appropriate categories (e.g., seminars, workshops, book reviews, professional memberships, extramural grants, refereeing for journals, consulting, and so forth) that have occurred since the last successful review.

If there is supporting documentation, it must be provided via a single link at the top of bio-bib section. Individual documents must be clearly labeled with the same title as the corresponding item on the bio-bib.

University and Public Service

The bio-bib must include an itemized list of various activities by categories or level (e.g., department, Senate, administration, community, governmental, and so forth) that have occurred since the last successful review. Mentoring and advising of students and faculty that furthers diversity and equal opportunity may be listed as University service.

If there is supporting documentation, it must be provided via a single link at the top of bio-bib section. Individual documents must be clearly labeled with the same title as the corresponding item on the bio-bib.

CONFLICT OF COMMITMENT AND OUTSIDE PROFESSIONAL ACTIVITIES

(Revised 4/23)

General information

APM 025 provides specific guidelines concerning potential conflicts of commitment that may arise when faculty participate in outside professional activity, both compensated and uncompensated. While there is great value in activities outside the University that advance and communicate knowledge, it is important that these activities not conflict with the faculty member's primary responsibility to the University.

Faculty members holding the following titles are subject to APM 025:

- Assistant Professor, Associate Professor, Professor
- The above titles when used with an Acting or Adjunct pre-fix
- Lecturer PSOE, Lecturer SOE, Senior Lecturer SOE

In addition, administrative officers including deans and faculty administrators who hold appointments in any of the above titles are subject to APM-025, regardless of the current percent of time in the academic appointment.

A full-time faculty member on a nine-month appointment may not engage in outside professional activity for more than 39 days during the academic year. The 39-day limitation does not apply during periods of leave without pay, however prior approval of Category I activity and reporting of Category I and II activity are still required. Faculty on approved sabbatical or other leaves with pay are subject to disclosure, prior approval, and annual reporting requirements regardless of the funding source for salary.

Summer Months

There are no restrictions on the number of days of Category I and II activity for academic-year faculty during the summer months except during periods when receiving additional University compensation (i.e. Summer Session teaching or research compensation). The time limit on compensated and uncompensated outside professional activities is the equivalent of one day per week during the period in which University summer compensation is received.

Categories Of Outside Professional Activity

Three categories of outside activity have been defined, in terms of the extent to which they may raise a conflict of commitment. See APM-025 for a complete explanation of activities.

Category I activities are likely on their face to raise issues of conflict of commitment. Such activities are **not allowed without prior approval** from the Chancellor or designee, and when approved are subject to the 39-day limit, and must be reported on an annual basis. Prior approval is required even if the activity will take place during a period of leave without pay. Category I activities include current or pending acceptance of an honorary, visiting, adjunct, or other institutional appointment (either compensated or uncompensated) at an outside institution, or participation in or application to talent recruitment programs sponsored by a government agency of a nation other than the United States. Category I activities include but are not limited to:

- Teaching, research, or administration of a grant at an educational institution, trust, organization, government agency, foundation, or other entity outside of the University;
- Employment outside of the University
- Assuming an executive or managerial position in a for-profit or not-for-profit business.
- Assuming a founding or a co-founding role of a company.
- Other professional activity that common sense and good judgment would indicate are likely to raise issues of conflict of commitment.

Category II activities are typically shorter-term outside professional activities which have less potential to raise issues of conflict of commitment. They are allowed without prior approval up to the 39-day limit and must be reported on an annual basis. Such activities include but are not limited to:

- Teaching for Professional and Continuing Education (PaCE), or teaching for other continuing education programs run by the University, and self-supporting UC degree programs.
- Consulting or testifying as an expert or professional witness.
- Providing consulting services or engaging in professional practice as an individual, single- member professional corporation or sole proprietorship.
- Serving on the board of directors of an outside entity.
- Providing or presenting a workshop for industry.
- Providing outside consulting or compensated professional activities performed for entities such as the Los Alamos and Lawrence Livermore National Laboratories (exception for Board of Governors- see APM 025).
- Other outside professional activity not mentioned in Category I or III that common sense and good judgment indicate are not likely to raise issues of conflict of commitment.

Category III activities are accepted as part of a faculty member's scholarly and creative work. Even if compensated they are allowed, and do not count towards the 39-day limit. Category III activities do not need prior approval except when the activity involves students (see APM 025-8-d). They must be reported annually by deans and faculty administrators whether compensated or uncompensated (see APM 240-20-c and APM-246-20-c). Category III activities include but are not limited to:

- Serving on government or professional panels or committees or as an officer or board member of a professional or scholarly society.
- Acting as a reviewer or editor for journal or book manuscripts.
- Attending and presenting talks at university/academic colloquia and conferences.
- Participating in or accepting a commission for an artistic performance or event not sponsored by the University other than activities under Category I.
- Developing scholarly communications, even when such activities result in financial gain.
- Accepting honoraria (other than those received for Category II activities) and prizes.

Prior approval requirements

Request for approval to: (1) engage in Category I activities, or (2) involve a graduate student in outside professional activity (see the campus campus Policy on Conflict of Interest in Graduate Education for guidelines for such activity) should be submitted in advance to the Department Chair by **June 30** for the upcoming academic year, or as soon as identified. Requests **must** be approved prior to engaging in the activity and are submitted via OATS which may be accessed through the Academic Personnel website or directly at https://ucsb.ucoats.org/. The Department Chair will review the request within the context of departmental teaching demands, sabbatical leaves, other leaves, etc., and endorse or deny each request. The request will then be forwarded to the appropriate Dean for approval.

Reporting requirements

Faculty must file an annual APM 025 report for the prior fiscal year in the systemwide Outside Activities Tracking System (OATS), once functionality is made available in early July of each year. The annual report period is from July 1st to June 30th. Faculty undergoing advancement review must complete their reporting by September 15 of the calendar year. All other

faculty must complete certification by October 31 annually. Faculty may access OATS via the Academic Personnel website or directly at https://ucsb.ucoats.org/. The Chair must review and approve each report. The Dean will review and approve the report of the Chair. The reports are considered to be non-confidential in nature and are subject to public inspection.

DEAN'S AUTHORITY MERIT REVIEWS

(Revised 9/21)

Deans have the approval authority for the following actions when the departmental recommendation is at normative time or longer:−

Assistant Professor and Lecturer PSOE:

One-step advances from Step II to III, or from III to IV, with up to an additional ½ step in off-scale supplement

Associate Professor and Lecturer SOE:

One-step advances from Step I to II or from II to III, with up to an additional ½ step in off-scale supplement

Professor and Sr. Lecturer SOE:

One-step advances from Step I to II, II to III, III to IV, IV to V, VI to VII, VII to VIII, VIII to IX

Should a Dean disagree with the departmental recommendation the case will be forwarded to Academic Personnel for review by the Committee on Academic Personnel and decision by the Associate Vice Chancellor.

The Office of Academic Personnel is the office of record for maintenance of personnel files and is responsible for the announcement of merit decisions.

At the end of each review cycle, the CAP will conduct a post-audit of each Dean's merit decisions. The CAP reserves the right to request to review any individual faculty case at a subsequent merit review point, regardless of the type of proposed action.

DOCUMENTS TO BE SUBMITTED BY THE CHAIR

DEAN'S AUTHORITY MERITS

(Revised 9/21)

All personnel review cases are submitted via AP Folio

I. **Departmental Letter**

The Chair should provide a **concise** description of the most significant developments since the last review in each of the review areas. Any criticisms or reservations should also be noted. The letter should be brief; normally one to two pages long. See Red Binder I-75 for further discussion of evaluation of four areas of review and Red Binder I-35 for details regarding the content of the departmental letter.

- ☐ Is the letter an accurate, concise 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?
- ☐ Are all four areas of review covered: teaching, research, professional activity and university and public service?
- ☐ Are contributions to diversity and equal opportunity given appropriate recognition?
- ☐ Is all relevant information from the Departmental letter accurately entered on the case up-load screen?

II. **Chair's Separate Confidential Letter**

See Red Binder I-35 for further information.

- ☐ Is the letter clearly marked "Chair's Separate Confidential"?

III. **Safeguard and Certification Statement.**

The candidate must sign an on-line safeguard and certification for each departmental recommendation. If it is difficult or impossible to obtain the required signature, 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 and certification 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 #6 should be checked.
- ☐ Are copies of everything the candidate has provided, or been provided, included with the case?

IV. **Bio-bibliographical Update**

- ☐ Is it in the proper format?
- ☐ Is the Research section a **cumulative** list of publications (or creative activities) with a line drawn separating all new items from where the bio-bib from the last review case had ended?
- ☐ Are the numbers the same as in the previously submitted bio-bib, and have items previously listed as "In Press", "Submitted" been accounted for?
- ☐ Are all items, including "In Press", "Submitted", and "In Progress" properly numbered?
- ☐ Are all teaching evaluations listed as available in the Teaching section of the bio-bib included with the case?
- ☐ Have all links to supporting documents and one-of-a-kind items been verified?

V. **Evaluation of the teaching record**

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

- ☐ If the B&P printout is used, is it noted which classes have ESCI's?
- ☐ If small courses do not have ESCIs is an explanation provided in the departmental letter and an alternate form of teaching evaluation included?

☐ 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. **Self-assessment of other accomplishments and activity (optional)**.

☐ If a self-assessment of activity and accomplishments other than teaching (V. above) was submitted, is it included in the case? Self-statements may address research, professional activity, service, or contributions to advancing diversity, equity, and inclusion.

VII. **Sabbatical leave reports**.

☐ If any sabbatical leaves were taken during the review period are copies of the reports included with the case?

VIII. **Copies of publications**.

It is the responsibility of each faculty member to maintain copies of published research or other creative work and reviews.

☐ Have all items included in Part I of the bio-bib for the current review period been submitted, including In Press and Submitted items?

☐ Has appropriate evidence been provided for In Press items?

☐ Do all of the titles on the actual publications match those listed on the bio-bib?

☐ Have links to electronically submitted items been verified?

☐ If items cannot be submitted electronically, have arrangements been made with the Dean's office?

☐ If any publications are missing from the file, is a note included noting which are missing and explaining why?

I-33
EXPANDED REVIEWS
(Revised 9/21)

The following actions for advancement in the Professorial or Lecturer SOE series require expanded review beyond the Dean:

Formal Appraisal

Terminal Appointments

Promotion to Associate Professor or Lecturer SOE

Promotion to Professor or Sr. Lecturer SOE

Merit to a special step

Merit to Professor/Lecturer SOE Step VI

Merit to or within Professor/Sr. Lecturer SOE Above Scale

Accelerated actions, except one-step advances as noted in RB I-30

Reduction in off-scale supplement

All Expanded Review cases will be subject to review by the Committee on Academic Personnel. The Chancellor will have final approval authority for all promotions, advancement to Professor VI and advancement to or within Above Scale. The Associate Vice Chancellor for Academic Personnel will have final approval authority for all other Expanded Review cases.

Senate members serving on the Committee on Academic Personnel will have Expanded Review actions reviewed by a shadow CAP instead of the current membership of CAP.

DOCUMENTS TO BE SUBMITTED BY THE CHAIR

EXPANDED REVIEW CASES

(Revised 4/23)

All personnel review cases are submitted via AP Folio

I. **Departmental letter of recommendation**

Accurate and analytical letters of recommendation from the department are essential in the review process. See Red Binder I-75 for further discussion of evaluation of four areas of review and Red Binder I-35 for further detail of content of departmental recommendations

- ☐ 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 there is a recommendation for an acceleration, are the reasons for the acceleration specifically stated?
- ☐ In the case of a negative or mixed departmental recommendation, is the basis of the recommendation clearly documented?
- ☐ If the case contains extramural letters, are letter writers identified **only** by coded list, with no identifying statements?
- ☐ If the case is for a career review, does the letter provide an overview of the career accomplishments as well as analysis of the achievements within the most recent review period?
- ☐ Are all four areas of review covered: teaching, research, professional activity and university and public service?
- ☐ Is the teaching load documented, per RB I-35?
- ☐ Are contributions to diversity and equal opportunity given appropriate recognition?
- ☐ Is all relevant information from the Departmental letter accurately entered on the case up-load screen?

II. **Chair's Separate Confidential Letter**

See Red Binder I-35 for further information.

- ☐ Is the letter clearly marked “Chair’s Separate Confidential”?

III. **Safeguard and Certification Statement.**

The candidate must sign an on-line safeguard and certification statement for each departmental recommendation. If it is difficult or impossible to obtain the required signature, 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 and certification statements? The case may not be forwarded until the candidate has signed.
- ☐ If there are no confidential documents (e.g. external letters, minority opinion report) the appropriate box under #6 should be checked.
- ☐ Are copies of everything the candidate has provided, or been provided, included with the case (e.g. redacted letters, list of potential evaluators)?

IV. **Bio-bibliographical Update**

- ☐ Is it in the proper format?
- ☐ Is the Research section a **cumulative** list of publications (or creative activities) with a line drawn separating all new items from where the bio-bib from the last review case had ended?
- ☐ Are the numbers the same as in the previously submitted bio-bib, and have items previously listed as “In Press”, “Submitted” been accounted for?
- ☐ Are all items, including “In Press”, “Submitted”, and “In Progress” properly numbered?
- ☐ Are all teaching evaluations listed as available in the Teaching section of the bio-bib included with the case?

- ☐ Have all links to supporting documents and one-of-a-kind items been verified?

V. **Extramural letters of evaluation** and list of evaluators in cases where extramural letters are required; promotion, or merit to Professor Above Scale. (Red Binder I-49)

Extramural Letters

- ☐ Are there at least 6 letters?
- ☐ Are at least half of the letters from references chosen by the Chair/Dept independent of the candidate?
- ☐ Have all letters been coded? Are the codes also on the redacted versions?
- ☐ If the letters were sent via email, is a copy of the email and any attachment included?
- ☐ If redacted copies of the letters were provided to the candidate, is a copy included (one copy only), and did he/she check box 7A on the Procedural Safeguards Statement?
- ☐ Are any anomalies in the composition of reviewers (e.g. less than six letters, letter writer who wrote in previous review, etc.) explained?

Sample Solicitation Letter(s)and/or Thank you letter(s) for unsolicited letters

- ☐ Was the proper wording used in the letter (RB I-49 to I-50)?
- ☐ Is a list of all informational items sent to referees (e.g. CV, bio-bib, publications sent, etc, per RB I-46-VI) included? Is a copy of each item included as either part of the case or a one-of-a-kind item?
- ☐ If different versions of the letters or materials went out, is a sample of each included?

List of Referees, including brief Biography and indicating who selected referees

- ☐ 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?
- ☐ Are the names of everyone who was asked to write included? For those who did not respond is a reason for no response listed?

VI. **Evaluation of the teaching record**.

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

- ☐ If the B&P printout is used, is it noted which classes have ESCI's?
- ☐ If small courses do not have ESCIs is an explanation provided in the departmental letter and an alternate form of teaching evaluation included?
- ☐ 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?

VII. **Self-assessment of other accomplishments and activity (optional)**.

- ☐ If a self-assessment of activity and accomplishments other than teaching (VI. above) was submitted, is it included in the case? Self-statements may address research, professional activity, service, or contributions to advancing diversity, equity, and inclusion.

VIII. **Sabbatical leave reports**.

- ☐ If any sabbatical leaves were taken during the review period are copies of the reports included with the case?

IX. **Copies of publications**.

It is the responsibility of each faculty member to maintain copies of published research or other creative work and reviews.

- ☐ Have all items included in Part I of the bio-bib for the current review period been submitted, including In Press and Submitted items?
- ☐ Has appropriate evidence been provided for In Press items?

- ☐ Do all of the titles on the actual publications match those listed on the bio-bib?
- ☐ For tenure cases, have you included all publications?
- ☐ Have links to electronically submitted items been verified?
- ☐ If items cannot be submitted electronically, have arrangements been made with the Dean's office?
- ☐ For other career reviews (promotion to Professor, to Step VI, to Above Scale), are all publications since last review, and all or a representative sample of publications from the prior record included?

I-35

HOW TO WRITE A DEPARTMENTAL LETTER

Appointments and Advancements

(Revised 4/23)

Accurate and analytical letters of recommendation from the department are essential in the review process. The candidate and his/her department must make the case; other reviewing agencies cannot do so. The analysis should be extensive, and for promotions, merits to step VI and to Above Scale the analysis should cover the cumulative record of the candidate. In cases where acceleration is recommended, explicit justification must be given for the recommendation. In any case, the letter should clarify which of the candidate's accomplishments precede the last review and which follow.

Personnel reviews that have been deferred due to a family accommodation (i.e. childbearing or parental leave, extension of the tenure clock) should be evaluated without prejudice as if the work were done in the normal period of service. The departmental letter should clearly state that the standard expectations are being applied.

The departmental letter should provide a summary of both the positive and negative aspects of the case. Direct quotes from faculty ballots or from the departmental discussion should be avoided. The analysis overall should strive for balance. It should identify criticisms and reservations, especially when there is significant opposition to the recommendation. It should, if indicated, include an assessment of the significance of particular extramural views or judgments. In the case of a negative departmental recommendation, the basis of the recommendation should be documented as well.

Individuals who have provided confidential letters of evaluation should not be identified, except by means of a coded list (e.g., "Reviewer A"). Note that in career reviews (promotions and advancement to step VI or Above Scale), the department letter should provide an overview of career accomplishment as well as the achievements of the most recent review period.

The letter should provide a comprehensive assessment of the candidate's qualifications together with detailed evidence to support this evaluation. The letter should be a complete professional evaluation (accurate and analytic), including both supportive and contrary evidence. At the same time the letter should be succinct. Extended quotations from supporting documents (e.g. external letters, bio-bib) and rhetorical statements are to be avoided, since overly long letters are a burden to all reviewing agencies. The Chair should make clear which portions of his/her letter refer to the candidate's past accomplishments and which refer to accomplishments falling within the current review period.

Teaching, research, professional and public service contributions that promote diversity and equal opportunity are to be encouraged and given due recognition in the evaluation of the candidate's record. Contributions to diversity and equal opportunity may include effort to advance equitable access to education, public service that addresses the needs of diverse populations, or research in a scholar's area of expertise that highlights inequalities. Mentoring and advising of students and faculty members from underrepresented and underserved populations is within the scope of expected duties; however, highly significant efforts should also be given due recognition.

<u>Suggested format for letters of recommendation</u>

1. Brief outline of the mechanisms used for soliciting information and evaluating the academic performance of colleagues in cases of merits, promotions, and so forth (e.g., departmental use of ad hoc committees, teaching evaluation committees, departmental meetings to assess candidates, etc.). Explanation of any apparent anomalies in the voting, e.g., a disproportionately small number of votes relative to departmental size, or excessive abstentions should also be explained.

2. The basis for the departmental recommendation, including analytical evaluation of the performance in **each area of review appropriate to the academic series**.

A) Research

Appointees to the Lecturer SOE series will be evaluated using a single category of Professional and/or Scholarly achievement and Activity rather than two separate categories of Research and Professional Activity.

Present a full evaluation of candidate's research record, indicating the significance of the research accomplishments.

The departmental letter should present the publication record for the current review period according to the following format: [A] Published work; [B] Work in press; [C] Work submitted.

In certain fields such as art, architecture, dance, music, literature, and drama, distinguished creativity should receive consideration equivalent to that accorded to distinction attained in research. In evaluating artistic creativity, an attempt should be made to define the candidate's merit in the light of such criteria as originality, scope, richness, and depth of creative expression. An important element of distinction is the extent of regional, national, or international recognition.

The departmental letter must assess the degree and quality of the candidate's role in any collaborative work, or explain why such assessment is impracticable.

B) Teaching

The department letter should include a statement of the normative teaching load and how the candidate's obligation was met for the review period. For example:

- The normal department teaching load is [X] courses per academic year. During the current review period, Professor [___] taught [___] (explain if partial credits) at the undergraduate level and [___] (explain if partial credits) at the graduate level. This fulfilled the teaching requirement for the review period.

(If applicable, incorporate the following):

- As part of their expected teaching load, Professor [___] additionally taught [course] during Summer [20__], which constitutes a core component of the curriculum of the department (only in cases when summer teaching is a required component of teaching load).
- During the review period, Professor [___] had [___] releases for [___] (sabbatical, grant, overload previous cycle, etc.).
- [OR] This was an overload of [___] that will/will not affect course load expectations in future cycles (explain if course reduction will occur in future cycle).
- [OR] This was [___] course/s short of normative teaching expectations that will/will not be made up in the next review cycle.

The letter should assess the overall contributions of the candidate to the departmental curriculum on lower-division, upper-division, and graduate instruction. The department assessment might also evaluate the candidate's contribution to academic advising, thesis and dissertation directorship, committee work relating to the curriculum, "mentoring" colleagues, or frequency of invited lectures given by the candidate.

The letter should include an evaluation of the candidate's teaching performance, including an analytical evaluation of the ESCI scores and indicating the significance of the record. The letter should clearly indicate which courses were evaluated on-line and should take into consideration the possible impact of the change in methodology from paper to on-line evaluation. The analysis should include information on the number of graduate committees (MA and Ph.D. as reflected in the bio-bibliography).

C. Professional Activity

Appointees to the Lecturer SOE series will be evaluated using a single category of Professional and/or Scholarly achievement and Activity rather than two separate categories of Research and Professional Activity.

The departmental letter should include a full analysis of the candidate's performance, indicating the most prominent features of the record. The significance of honors, awards and extramural grants should be described. If a contract or grant is listed as "continuing", detail of any changes in the funding should be provided. When the candidate is listed as co-PI, the departmental letter should clarify the candidate's share of the grant money and role in the project.

D. University and Public Service

The letter should include a full analysis of candidate's involvement, indicating the significance of the record and the quality of the service.

3. Summary

This section is optional, and may be used to summarize the most significant accomplishment of the review period, and to provide an explicit justification for acceleration or other special action.

In cases of appraisal, departments may make one of the following three recommendations: a) Continued Candidacy: indicating an assessment that the candidate is likely to eventually qualify for promotion to tenure rank. B) Continued Candidacy with Reservations: indicating an assessment that there is an identified weakness in the record that appears to require correction in order for the individual to eventually qualify for promotion to tenure rank. C) Terminal appointment. In addition, the letter must also include an evaluation of the performance as progress toward eventual tenure.

Chair's Separate Confidential Letter

While this option is not often used, the Chair may, in accordance with APM 220-80e, submit a separate letter indicating his/her own analysis and recommendation. This letter is not made available to other members of the faculty in the department. It should be noted that a Chair's separate letter is designed to be evaluative of the evidence available to the department; new evidence can be considered on the rare occasions when it could not be appropriately shared with the department. A Chair's confidential letter may also be used to address unresolved issues between majority and minority opinions related to a case, or to address a candidate's comments in response to the departmental review. When a Chair submits a confidential "Chair's separate letter", it should be clearly identified as such, and will become part of the personnel review file. The status of such a letter is considered to be non-departmental (as is a letter from a dean). It is not submitted to an ad hoc review committee when one is convened. As a "confidential academic review record" (as defined in APM 160-20-b), a Chair's letter will be made available to the candidate upon request along with other review agency reports at the end of the review process.

ACCELERATIONS

(Revised 4/23)

Accelerations in step and/or off-scale may be proposed at or after normative time at step (see RB I-4 for unique circumstances). Departments should not hesitate to propose accelerated advancements to reward cases of superior performance where there is clear justification. Adjustments in salary via an increase in off-scale supplement would primarily be proposed when the appropriate reward does not correspond to an advancement in step. Response to "market pressures," as evidenced by competitive outside offers in the context of a retention case, would typically be addressed via increase in the off-scale salary supplement, and not necessarily by advancement in step, as described in Red Binder I-8 and I-44.

In formulating justification*s* for accelerated advancements, the department and reviewing agencies must first provide evidence that the candidate has met the requirements for a normal, one-step advancement prior to addressing any recommendation for acceleration. The record must include evidence of superior performance beyond the requirements for the one-step advancement, with no significant deficiencies in the record.

Examples of evidence of superior performance are noted below. It is possible to be accelerated on the basis of achievements that do not fit into the listed examples; however, this is expected to be rare and must be justified by compelling evidence.

- Professor series: Achievement well above disciplinary/field norms in research/creative activities coupled with excellent performance in all other areas.

- Lecturer with Security of Employment Series: Achievement well above the high campus standards in teaching coupled with excellent performance in all other areas.

- Extraordinary achievements in two or more areas of review, coupled with excellent performance in the other areas

- Prestigious new awards or other such evidence of peer recognition for the impact of past creative work or teaching.

- Extraordinary achievements and activities in DEI, exceeding normative expectations, within the areas of research/creative activities, teaching/mentoring, professional activities, and/or service.

- Extraordinary accomplishments in administrative service roles after the completion of a normative term (e.g., completion of 3 years as Department Chair; excluding career administrators), with significant leadership, activities, and achievements exceeding normative expectations for the role. Term of office and accomplishments should be documented in the case record. (See RB I-67 for more on Evaluation of Administrative Service)

Acceleration at the time of a merit review must be based on activity during the period since the last review. Acceleration in step at the time of a career review may be based on the cumulative record.

As with any on-time advancement, the individual's next eligibility date for academic review will be based on the effective date of the advancement, if an acceleration in step or off-scale occurs. If the outcome of a merit review is no change in step or off-scale, the faculty member remains eligible for review each year until advancement in rank or step occurs. See Red Binder I-4-III for important parameters.

"SPECIAL" OR "OVERLAPPING" STEPS

(Revised 4/23)

Step V of the Assistant Professors/Lecturer PSOE rank and Step IV of the Associate Professor/Lecturer SOE rank are "special" steps; "special" in the sense that these steps may be utilized for advancement when a member of the faculty shows evidence of work that is likely to lead to promotion in the near future when completed, but whose established record of accomplishment has not yet attained sufficient strength to warrant promotion. In addition, the use of the special step of Assistant Professor V is appropriate for individuals who have accumulated a significant research record, but have not yet established an equivalent teaching record that would merit consideration for tenure. Service at the special steps is in lieu of service at the first step of the next rank.

Once advanced to a special step, the normal progression is for promotion to the next rank. Upon advancement to a special step, the faculty member is eligible for review for promotion each year until promoted. If promoted earlier than the normative time at step (two years at Assistant Professor/Lecturer PSOE V and three years at Associate Professor/LSOE IV), promotion should be lateral. A lateral advancement indicates promotion to Step I at the higher rank, accompanied by the $100 increase in salary associated with movement from the special step to Step I of the next rank. To move to Step II after advancement to the special step, a candidate is expected to serve the normative time at step or, in rare cases, meet the requirements for accelerated advancement without deficiencies in any area, based on expectations for normative time at step (see also RB I-4-III & RB I-36). After a lateral promotion, eligibility for review will be determined based on the combination of years at the special step and years at Step I at the higher rank. If promoted at the normative time at step, the “on-time” advancement will be to Step II of the higher rank. The appropriate level of advancement in the case of promotion after more than the normative time at step will be dependent on the strength of the case and should not be determined simply based on time served at the special step.

Further advancement within the special step will not occur at less than the normative time at step (two years at Assistant Professor/Lecturer PSOE V and three years at Associate Professor/LSOE IV) and will require evidence that promotion is likely to occur with the next review.—

FORMAL APPRAISAL

(Revised 4/19)

Formal appraisals are made "in order to arrive at preliminary assessments of the prospects of candidates for eventual promotion to tenure rank as well as to identify appointees whose records of performance and achievement are below the level of excellence desired for continued membership in the faculty" (APM 220-83). For Lecturers in the SOE series, “security of employment” is substituted for “tenure.”

A formal appraisal of an Assistant Professor/Lecturer PSOE will be conducted during the fourth year of service in that title, or in combination with this and other titles counted under the eight-year rule, as defined in APM 133-0 a and APM 133-0 b. Individuals appointed at the higher steps of the Assistant Professor/Lecturer PSOE rank may be promoted after less than four years of service, in which case an appraisal would not occur. The formal appraisal may be deferred, by request, if the faculty member has had time off the tenure clock. The formal appraisal will not be conducted earlier than the fourth year, however, departments should be informally mentoring junior faculty throughout their Assistant Professor or Lecturer PSOE appointment.

Departments may make one of the following three recommendations in an appraisal case:

a. Continued Candidacy: indicating an assessment that the candidate is likely to eventually qualify for promotion to tenure rank.

b. Continued Candidacy with Reservations: indicating an assessment that there is an identified weakness in the record that appears to require correction in order for the individual to eventually qualify for promotion to tenure rank.

c. Terminal appointment.

The departmental vote should be taken providing the above three options rather than a yes-no vote on any one of the possible outcomes.

The departmental letter of recommendation should contain a description and analysis of the candidate's total performance in each of the four areas of evaluation and an evaluation of the performance as progress toward eventual tenure. The procedures for Expanded Reviews (Red Binder I-35) should be followed in preparing the appraisal recommendation. An appraisal done in conjunction with a Dean’s Authority merit increase is still considered an Expanded Review action.

Prior to a formal appraisal the Chair should inform the candidate of the criteria for advancement and the nature of the review process as set forth in APM 210-1 d and APM 220 or 285. This step would reasonably include a discussion of the relative value given to books versus journal articles, etc., the importance of research vis-à-vis teaching or University service, and the relative merits of long- and short-term research goals. The structure of the review process, including the responsibilities of various reviewing agencies, should also be explained fully. The candidate should be told that a formal appraisal can not result in a promise of eventual tenure. A final decision for Continued Candidacy, based as it is on an early sample of the record an Assistant Professor/Lecturer PSOE will present when later considered for tenure, is only a tentative prognosis. Promotion to tenure rank will require greater accomplishment in all review areas and receives a more extensive review that includes solicitation of extramural letters as well as the convening of an ad hoc review committee.

In all formal appraisal reviews the candidate will receive redacted copies of all reviewing agency reports. A decision for a Terminal Appointment shall be made only in accordance with APM 220-84 or APM 285-17.

ASSISTANT PROFESSOR & LECTURER PSOE
TERMINAL APPOINTMENTS
AND DECISIONS TO DENY PROMOTION
(Revised 4/19)

A proposal not to reappoint an Assistant Professor/Lecturer PSOE may originate with the Department Chairperson as a result of departmental review during the consideration of reappointment. In this event, the case shall be reviewed in accordance with the provisions of APM 220-82 and 220-84.

In any case in which non-reappointment of an Assistant Professor/Lecturer PSOE is considered, there shall be review by the Committee on Academic Personnel. An ad hoc committee shall be appointed if the Chancellor or the Committee on Academic Personnel requests it.

During a review of a reappointment, a formal appraisal, or a promotion of an Assistant Professor (or other appointee of equivalent rank), if the Chancellor ‘s (or designee's) preliminary assessment is to make a terminal appointment or to deny promotion the Department Chair and the candidate shall be notified of this in writing by the Chancellor (or designee). The candidate also shall be notified of the opportunity to request access to the records placed in the personnel review file subsequent to the departmental review in accordance with APM - 160-20 c. When the candidate is provided copies of such records, copies shall also be provided to the Department Chair. Copies of such records will also be provided to the Dean if the materials are used or referred to in the response of the candidate or Chair. The candidate and the Chair, after appropriate consultation within the department, shall then have the opportunity to respond in writing and to provide additional information and documentation. The candidate may respond either through the Department Chair or directly to the Chancellor (or designee). This response must be submitted within 10 working days of the date the candidate receives the reviewing agency reports. The personnel review file, as augmented by the added material, shall then be considered in any stage of the review process as designated by the Chancellor (or designee) before a final decision by the Chancellor is reached. The Chancellor's final decision to make a terminal appointment or to deny promotion requires the appropriate preliminary assessment notification process and opportunity to respond being provided to the candidate as specified herein.

In accordance with APM 220-80 i after the final decision, the candidate may request a copy of non-confidential documents and a redacted copy of confidential documents. Such requests should be made to the Associate Vice Chancellor for Academic Personnel.

The above notification procedure provides the opportunity for reconsideration and possible reversal of the preliminary assessment for a terminal appointment or denial of promotion. For this reason, reconsideration of a terminal appointment or denial of promotion will only take place when there is substantial evidence of significant improvement in the faculty member’s record of scholarly achievement, particularly with respect to those elements of the record that have been previously identified as areas of weakness. When these conditions are met, a request for reconsideration of a terminal appointment or denial of promotion, justified by a brief review of the new evidence that supports the request, may be submitted by the department, to the Dean of the College/School/Division. If permission is granted by the Dean, the case may be re-submitted for reconsideration; however this will not extend the terminal appointment end-date. Any such request may include information only through September 15 of the eighth year of service and must be submitted to the Deans office by the second Monday in November.

PROMOTION TO TENURE OR SECURITY OF EMPLOYMENT

(Revised 4/19)

The principal criterion for promotion to tenure in the Professorial series is succinctly stated in the following passage from APM 210-1 d:

> Superior intellectual attainment, as evidenced both in teaching and in research or other creative achievement, is an indispensable qualification for appointment or promotion to tenure positions.

The other criteria for review, namely professional activity and University service, must be given due consideration, but they can never be considered sufficient in and of themselves to justify promotion to tenure. Superior intellectual attainment in teaching and in research or other creative achievement as noted above are essential for promotion to tenure.

The principal criterion for promotion to security of employment in the Lecturer SOE series is stated in the APM 210-3 c:

> Superior intellectual attainment, as evidenced particularly in excellent teaching and secondarily in professional and/or scholarly achievement and activity, is an indispensable qualification for appointment or promotion to security of employment.–

Professional and/or scholarly achievement and University service must be given due consideration, but the can never be considered sufficient in and of themselves to justify promotion to tenure. Superior intellectual attainment in teaching is essential for promotion to security of employment.

In attempting to make the phrase "superior intellectual attainment" operational, it is to be recognized that a particular intellectual discipline or subject-area (in the case of interdisciplinary programs), as represented in a local department or program together with the larger national and/or international context of the discipline or area, provides the most informed evaluation of outstanding or superior performance. The most useful critical assessment of "superior intellectual attainment" in research or other creative achievement must come primarily from those who are established figures in the field, primarily from colleagues in the department as well as faculty in comparable departments and programs nationally and internationally. (In this connection, departments may wish to provide an operational interpretation of the phrase "superior intellectual attainment" which they consider appropriate to the particular discipline or subject-area). Candid, thorough, documented and concise assessment on this level is clearly essential if reviewing agencies are to perform their proper analytical and evaluative task. Furthermore, it is essential that a candidate's performance be measured by the highest standards of excellence that are currently recognized by a given intellectual discipline or subject-area.

The most useful critical assessment of "superior intellectual attainment" in teaching must come primarily from those familiar with the methods and approaches in teaching that are appropriate in a given candidate's area of expertise. In many instances, the assessment of a candidate's performance in teaching is most satisfactorily carried out and documented by the Chairperson of the department in consultation with other faculty departmental colleagues, utilizing course evaluations, peer evaluation, extramural letters from former students, reports of colleagues concerning a candidate's performance in public lecture contexts, seminar discussions, and documentation of new substantive developments in the field or new and effective techniques of instruction. Further evidence of teaching performance may be obtained from extramural assessments, based on analyses of a candidate's performance in seminars or panels at national or regional professional meetings. Again, it is essential that a candidate's performance be measured by the highest standards of excellence that are currently recognized by a given intellectual discipline or subject-area in the area of teaching.

It must also be stressed that the department's responsibility in the matter of promotion to tenure or security of employment begins long before the final assessment and recommendation. This is to say, in the normal course of events, a working environment that provides opportunity for developing a high quality program of research and teaching should be cultivated by the department. In addition, the teaching assignments of junior faculty should provide opportunity for a candidate to demonstrate how his or her expertise will contribute in significant ways to the department's graduate and undergraduate educational programs. It is also the department's responsibility to apprise junior faculty early (and regularly) of the standards for qualification for tenure or security of employment and the bases for assessment.

When the time arrives for final evaluation for promotion to tenure or security of employment, it should be remembered that the recommendation should be based primarily on academic grounds as have been specified above. Such matters as resource limitations should not be at issue in making such a recommendation. If, after rigorous review (department and extramural), significant and credible doubts about a candidate's academic performance persist, then a candidate should not be recommended for promotion to tenure.

In view of this policy which stresses the highest standards of intellectual excellence that can be attained only by candidates of unquestioned ability, an important corollary should be set forth. If, after careful academic review, a department should choose not to recommend a candidate for promotion to tenure; and if that recommendation is sustained, the FTE vacated because of the termination will normally be retained by the department.

Promotion to tenure or security of employment review will normally take place by the end of the 6th year of service or after two years of service at Assistant Professor/Lecturer PSOE IV. The review may occur sooner if justified by the record. The review may also be deferred into the 7th year. Deferral beyond the 7th year will not be considered.

PROMOTION TO PROFESSOR OR SENIOR LECTURER SOE

(Revised 4/19)

Promotion to Professor requires an accomplished record of research that is judged to be excellent within the larger discipline or field. Superior intellectual attainment, as evidenced both in teaching and in research or other creative achievement, is an indispensable qualification for advancement to Professor. Sustained excellence in all four areas of review; research or other creative activity, teaching, University and public service as well as professional activity is expected for promotion to the Professor rank.

Promotion to Senior Lecturer SOE requires sustained excellence in effective teaching and demonstrated distinction in the special competencies appropriate to teaching in the particular subject. Sustained excellence in all three areas of review, teaching, professional and/or scholarly achievement and activity, and University and public service is expected for promotion to the Senior Lecturer SOE rank.

Promotion is a career review and therefore is based on a review of the individual's entire academic career.

MERIT TO PROFESSOR OR SENIOR LECTURER SOE STEP VI

(Revised 4/23)

Advancement to Step VI is a career review and therefore is based on a review of the individual's entire academic career. Although a career review, external letters are not included.

Advancement to Professor VI is based on evidence of sustained and continuing excellence in each of the following categories: (1) scholarship or creative achievement, (2) University teaching, and (3) University and public service, and (4) professional activity. In addition, great distinction, recognized nationally (*or* internationally) in scholarly or creative achievement or in teaching is required for merit to Professor VI.

Because external letters of evaluation are not included in advancements to Professor Step VI, a candidate's national (*or* international) reputation, recognition and impact must be established based on the academic record. The department letter and case should describe the evidence used to make this determination. Examples include, but are not limited to: leadership in a professional capacity at national levels, awards, fellowships, honors, plenary or keynote talks at national conferences or institutions, appointment to editorial boards and advisory boards or other forms of national and international recognition. Appropriate context to establish the influence, distinctiveness, significance, stature, etc. of accomplishments should be provided. Information regarding the prestige and competitiveness of publications or presentation venues, quantitative measures of citations, reprints and translations may also be helpful in establishing the national impact of the research, or creative activity. Submission of the candidate's curriculum vitae is strongly recommended.

Advancement to Senior Lecturer SOE VI is based on evidence of sustained and continued excellence in each of the three review categories: (1) teaching and teaching related responsibilities, (2) professional and/or scholarly achievement and activity; and (3) University and public service, with teaching excellence receiving primary consideration. Sustained and continued excellence must be established based on the academic record, with a focus on the teaching accomplishments and impact. The department letter and case should describe the evidence used to make this determination. Examples include, but are not limited to: ESCIs and student comments, peer evaluation, documentation of new substantive developments in the field or of new and effective techniques of instruction, success as a positive role model or effective mentor for students at all levels, awards or other such acknowledgements of excellent teaching. Submission of the candidate's curriculum vitae is strongly recommended.

MERIT TO, OR WITHIN, PROFESSOR OR SENIOR LECTURER SOE ABOVE SCALE

(Revised 4/23)

Advancement to Professor Above Scale is reserved for scholars and teachers of the highest distinction (1) whose work of sustained and continuing excellence has attained national and international recognition (2) whose University teaching performance is excellent, and (3) whose University and public service is highly meritorious, and (4) whose professional activity is judged to be excellent.

Advancement to Sr. Lecturer SOE Above Scale is reserved for teachers of the highest distinction (1) whose contributions to University teaching and education outcomes are excellent; (2) 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 (3) whose service is highly meritorious.

Advancement to Above Scale may occur after at least four years of service at step IX with the individual's complete academic career being reviewed. Further advancement within Above Scale may occur after four years of service. Early advancement to or within Above Scale is not permitted.

Normal, on-time advancement requires continued performance at levels commensurate with the expectations for an Above-Scale faculty member in all areas of review and must be justified by new evidence of merit and distinction appropriate to this highest level of the rank.

The level of performance required for merit increases is significantly higher at Above Scale than for advancement within the steps. When performance at Above Scale, or going to Above Scale, meets or exceeds these high standards increases will be awarded in one, one and one-half, and two-increment amounts. Normal, one-increment advancement requires continued performance at levels commensurate with the expectations for an Above Scale Professor in all areas of review and will not occur if there are deficiencies in any area of review. One and one-half increment advancement requires continued performance at levels commensurate with the expectations for an Above Scale Professor, accompanied by extraordinary achievement beyond the already high level, in two or more areas of review. In most cases, one of those areas will be scholarly and creative activity. Two-increment advancement will be exceptionally rare and will require continued performance at levels commensurate with the expectations for an Above-Scale Professor, supported by extraordinary achievement beyond the expected level in all areas of review. In rare circumstances, when performance at Above Scale does not meet the high standards listed above for a one-increment increase, an increase of one-half increment may be granted, when justified by a convincing explanation. Such increases will only be considered when extraordinary achievement beyond the expected levels exist in multiple areas of review.

The Above Scale advancement increment is equivalent to 10% of the on-scale rate for step IX on the applicable salary scale, rounded to the 100's.

Professorial appointees who have attained Above Scale status may use the title "Distinguished Professor" as an honorary title. Sr. Lecturer SOE appointees who have attained Above Scale status may use the title "Distinguished Teaching Professor" as an honorary title. Because these titles are honorific, they may not be used on legal documents such as contract and grant applications that require an official employment title. The title may be used for such purposes as correspondence, CV, or website listings. Faculty who retire at Above Scale status may use the title Distinguished Professor or Distinguished Teaching Professor emeritus/a.

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RETENTIONS
(Revised 2/22)

Although not automatic, it is campus practice to match an active outside offer made by an equivalent or higher quality institution, contingent upon the usual review process. Request for salary increases based on retention will be awarded through increase in off-scale salary rather than an increase in rank or step. A retention may, however be coupled with a merit or promotion recommendation that is based on the individual's accomplishments and record. Retention requests are processed through the regular personnel review system, including review by the Dean and CAP, with final approval resting with the Associate Vice Chancellor for Academic Personnel or the Chancellor (RB I-33 for approval authority). Retention cases that involve an increase in off-scale salary only may be processed at any time and are not subject to the standard case submission deadlines. Cases coupled with a merit or promotion will be subject to the standard deadlines unless an exception is requested and approved by the Associate Vice Chancellor. Salary increases associated with retentions will be effective July 1. Note that recommendations related to individuals being recruited by other UC campuses must abide by APM limitations on intercampus recruitment (APM 510).

Required documents;

Copy of external offer. A formal offer is preferable, however it is recognized that other institutions, particularly in industry or foreign countries may recruit without providing a "formal" offer at a time that would allow UC to try to retain the individual. If it is not possible to provide a copy of a formal offer, the department should clarify and explain the information provided in the informal offer, specifically whether a formal offer has been or is about to be made and who is making the offer.

Updated CV or bio-bibliography. While this is not mandatory, and may not be possible to submit in highly time-sensitive retentions, it is preferable to include an updated CV or bio-bib with the request. This allows reviewing agencies to see the level of productivity and activity up to the current date and can provide additional support to the department's request to retain the individual.

While a safeguard statement is not required for retentions (increase in off-scale only), the department is still required to provide the candidate with access to the departmental letter, and copies of reviewing agency reports may be requested by the candidate at the end of the review.

Departmental letter of recommendation. A departmental vote is required for any salary action, including an increase in off-scale in response to an outside offer. The departmental letter should provide information about the quality of the offer including the standing of the institution or department within the institution making the offer. If the salary being offered is on a different basis (i.e. fiscal year vs. academic year) or in foreign currency, the department should provide justification for it's recommended "match" in salary. Fiscal year salaries are converted to Academic year salaries using a factor of 1.16.

GUIDELINES FOR LETTERS OF EVALUATION

(Revised 4/23)

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 or modified, 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 who agree will then be sent materials for review. Those who decline or do not respond, including those who were not sent materials, should be identified on the coded list with an explanation provided (when offered).

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 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 and may consist of external letters submitted as part of the application materials (e.g., via UC Recruit).

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 cannot accept the material under the conditions stated. Sample wording O, "Restricted Material" in RB I-50 may be used in these circumstances. If the sending individual requests that the file not be used, the evaluatory material in the file cannot be considered by the department.

IV. Letters for tenured appointments and career advancements where letters are accepted

Letters should come from tenured faculty at distinguished institutions, preferably from full professors.-

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 feedback from the candidate and without consulting the candidate's list. The letters solicited, whether selected from the department's recommendations or the candidate's recommendations, should be non-conflicted. Although other relationships may also constitute a conflict, some examples include: advisors/mentors at any level; substantive collaboration in the last 4 years including co-authorship, grant collaboration, co-teaching, or co-editorial work on publications; student/advisee; close personal or family relationship; direct financial relationship; current UCSB employment (except as appropriate in LSOE cases). On the other hand, non-conflicted relationships might include members of the candidate's graduate school, service as

department colleagues at a previous institution, serving together on an editorial board or committee. 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 multiple levels may be used. External letters submitted as part of the application materials (e.g., via UC Recruit) may be included, but may not constitute more than half of the letters in appointments with tenure and must acknowledge the appropriate rank of the recommended appointment. In appointment cases only, letters submitted with the application materials that do not meet the standards of non-conflict may be included.

2. **Advancement cases**: Faculty undergoing a review for promotion or for 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. In some cases, for LSOE faculty whose instruction is focused on professional practice (e.g., secondary teacher education, performance), experts in distinguished professional roles or with distinctive practical expertise may be suitable alternatives to full professors at top universities, given appropriate justification on the coded list. In exceptional circumstances and with appropriate justification, these practical expertise referees may include former students with distinguishing qualifications who have had no relationship with the candidate in at least the past 4 years. Non-conflicted evaluators are expected.

Any relationship between the candidate and the external letter writer or deviation from the above requirements (e.g. an uneven mix between department and candidate nominated letters) 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 coded 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 the case where a suggested name overlaps, the letter is considered to be department-suggested. In addition, the list must contain the following information for individuals who provide letters: name, position/title, institution, area of expertise, past collaborative relationship with the candidate, and, in rare cases, any past reviews for which the letter writer also contributed a letter (which must be justified in the coded list). Similar information must be provided for any unsolicited letters included in the file. Since it is expected to contain contextual information for reviewing agencies, this list should be prepared by the department review committee, Chair, etc., rather than by departmental staff. 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 (e.g., name, title, identifying leadership roles, identifying background or expertise, institution, etc.) 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 UC Recruit should be noted as such on the list of evaluators. The solicitation letter and confidentiality statement are generated automatically by UC Recruit 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.

SAMPLE LIST OF EXTRAMURAL REFEREES

(Revised 4/23)

See Red Binder I-46: Guidelines for Letters of Evaluation, for expectations regarding suitable letter writers and adherence to policy.

SUGGESTED BY DEPARTMENT

A. Dr. David Rodriguez -- Professor of Psychology at Stanford University, Dr. Rodriguez has been recognized as the leading authority on bilingual language acquisition among children for the past twenty years and is a member of the National Academy of Sciences. Although Dr. Rodriguez was previously on the faculty at the University of Wisconsin-Madison, where he was colleagues with the candidate, they have no other professional or personal relationship.

B. Dr. Jane Williams -- Clinical Director for the Harvard Center for the Study of Linguistic Development in Cambridge, MA. Dr. Williams has written the authoritative text on linguistic development and now heads the most extensive longitudinal study of bilingual children in the nation.

C. Lauren Mateo, MEd – Superintendent of Special Education, Santa Clarita School District. In this role she oversees 34 schools and over 19,000 students. Among her numerous areas of expertise and practice, her leadership in the implementation of programs designed for multilingual learners is uniquely suited to assess the candidate's accomplishments.

D. etc.

SUGGESTED BY CANDIDATE

For **appointment** cases, indicate if letters were submitted via UC Recruit

E. Dr. Keo Carey -- Chair of the Psychology Department at Penn State. Dr. Carey was Maria Smith's Ph.D. advisor. She is an expert in how humans represent social structures in the mind and how they are mapped onto the brain.

F. etc.

G. etc.

INDEPENDENTLY SUGGESTED BY BOTH THE CANDIDATE AND DEPARTMENT, CONSIDERED AS ONE OF THE REFEREES SUGGESTED BY THE DEPARTMENT.

H.

UNSOLICITED COMMENTS

I. etc.

J. etc.

DID NOT RESPOND

Joe Smith, Harvard University
Anne Brown, UC Berkeley

DECLINED TO WRITE

Mary Johnson, UCLA-already overcommitted

CANDIDATE REQUEST TO NOT CONTACT

SAMPLE LETTER FOR SOLICITATION
OF EXTRAMURAL EVALUATION
(Revised 2/21)

Current Date

Name
Department
University

Dear Dr. _____,

[Opening remarks: e.g., I am writing to ask for your assistance in an important matter.]

[INSERT APPROPRIATE PARAGRAPH FROM SAMPLES THAT FOLLOW:

A. Appointment to Assistant Professor
B. Appointment or Promotion to Associate Professor
C. Appointment to Professor I-V
D. Promotion to Professor
E. Appointment at Professor VI- IX
F. Appointment or Merit to Professor Above Scale
G. Appointment to Lecturer PSOE
H. Appointment or Promotion to Lecturer SOE
I. Appointment or Promotion to Sr. Lecturer SOE
J. Appointment to Sr. Lecturer SOE VI
K Appointment or Merit to Sr. Lecturer SOE Above Scale
L. Continuing Lecturer Excellence review
M. Continuing Lecturer promotion to Sr. Lecturer
N Thank You Letter for Unsolicited Comments
O Restricted Materials (Non-UC Placement Files)
P. To Letter Writers from a Prior Review for Amendment or New Letter

[Sample wording for evaluation request: e.g. I would greatly appreciate your evaluation of_____'s work.] While you may not be familiar with all aspects of the record, we appreciate your comments related to those areas with which you are familiar. Please also indicate whether or not you would support the recommended action based on your knowledge of _____ and his/her record.

Although the contents of your letter may be passed on to the candidate at prescribed stages of the review process, your identity will be held in confidence to the extent possible. The material made available will lack the letterhead, the signature block, and relational information material below the latter. Therefore, material that would identify you, particularly your relationship to the candidate, should be placed below the signature block. In any legal proceeding or other situation in which the source of confidential information is sought, the University does its utmost to protect the identity of such sources.

[Closing remarks: e.g., I realize what an imposition on your time these requests are. I want to thank you in advance for your willingness to assist in this matter.]

Sincerely,

Department Chair

WORDING FOR SOLICITATION LETTERS BY PROPOSED ACTION

(Revised 2/23)

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 constraintd 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. 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.

I-51
MATERIALS TO EXTERNAL REVIEWERS
(Revised 4/23)

In cases where external letters of recommendation are required, materials are traditionally provided to the external evaluators to assist them in their evaluation. Although departments maintain a degree of flexibility concerning what is sent, the following guidelines must be observed:

For professor series faculty, reviewers must, at a minimum, be provided with a copy of the candidate's CV (or bio-bibliography) and access to copies of publications. Although departments may choose to send copies of publications with the letter requesting evaluation, they may also ask that the reviewer inform them if they do not have access to the publications, at which time they will be provided. Documents may be provided via online links or copied and sent to the evaluators if appropriate (See RB I-27 for bio-bib instructions). Although the CV is recommended (as it is a cumulative document), if a bio-bib is instead sent to external reviewers, it must be a version that excludes links to materials other than those for the research and creative activities section. Whether a CV or bio-bib is sent to external reviewers, the content must adhere to the appropriate publication cut-off dates. The CV must also be uploaded with the case if it differs from the case bio-bib.

Depending upon its practice and applied consistently as described below, a department may choose to send other materials to external reviewers such as a self-statement covering one or more of the review areas. Departments should use caution in providing documents beyond these usual items. Teaching evaluations, correspondence, and materials from past cases are examples of items that should not be sent to evaluators, and any links to such documents must be removed from the bio-bib or CV if it is provided.

For LSOE series faculty it is also recommended that the CV, which is cumulative, be sent to external reviewers. To demonstrate teaching effectiveness, ability, and diligence, as expected in APM 210, the following types of materials may also be chosen to send to external reviewers: a teaching statement describing the teaching philosophy and goals; a list of courses taught including enrollments and descriptions (e.g., details of content, evaluative procedures, methods, learning objectives): number of undergraduate and graduate advisees and advising role; syllabi; assignments and exams; examples of class content; summary of efforts to improve instruction; descriptive account of student feedback on teaching.

Any materials beyond the CV/bio-bib and publications (for professor series faculty) that are sent to external reviewers must be consistent among all employees within any given series undergoing the same type of review. Requirements for letters in each series are included in the corresponding Red Binder sections.

A list of the materials provided to the external reviewers must be submitted with the case

Any materials that were provided to the reviewers that are not otherwise included in the case must be submitted with the case.

LECTURER SECURITY OF EMPLOYMENT SERIES

(Revised 4/19)

Security of Employment

Security of Employment is not a reward for length of service but is based upon appraised and recognized merit. It cannot be conferred on an appointee unless there is an appropriately budgeted provision for the appointment. An individual may first be appointed as Lecturer with Potential Security of Employment. This may be viewed as a "security of employment-track" position, in the same way that an Assistant Professor position is a "tenure-track" position. Appointments in this series must be at greater than 50%. Lecturers with Potential Security of Employment and Lecturers or Senior Lecturers with Security of Employment are members of the Academic Senate when appointed at 100%.

Working Title

Appointees in the SOE series may use the working titles of Assistant Teaching Professor, Associate Teaching Professor, or Teaching Professor as appropriate to the rank within the SOE scale.

Implementation of October 1, 2018 APM changes to review criteria

Appointees to the SOE series with a hire date into the series of July 1, 2019 or earlier will continue to be evaluated under the criteria set forth in APM policy effective September 1, 2018. The transition to the October 1, 2018, criteria will take place as follows.

- In April 2019, all SOE series appointees will be asked to elect to be evaluated by the new criteria, the old criteria, or to delay their decision by one year. Individuals being reviewed for advancement effective July 1, 2020 will be reviewed based on the criteria selected.

- In April 2020, and April 2021, all SOE series appointees who have not yet transitioned to the new criteria will be asked to elect to be evaluated by the new criteria, the old criteria, or to delay their decision by one year.

- In April 2022, any SOE series appointees who remain under the old criteria will be transitioned to the new criteria, for reviews effective July 1, 2023. A campus process for exceptions to this deadline (permanent grandfathering) will be established prior to April 2022.

- The decision to move to the new criteria is irrevocable.

- Use of either the old or new criteria may not in and of itself be used as the basis for reconsideration of a final advancement decision.

APM and Red Binder policies in place effective September 1, 2018 will remain available via the Academic Personnel web site at https://ap.ucsb.edu/resources.for.department.analysts/lecturer.SOE.series.transition/ until April 2022. For SOE appointees who elect to permanently grandfather, the criteria will be incorporated into the individual memorandum of understanding established at that time.

AD HOC REVIEW COMMITTEES

(Revised 9/21)

I. General

Ad hoc review committees are required for the following reviews:

1) recommendation for termination
2) appointment or promotion to tenure or security of employment

An ad hoc review committee may be appointed for any level of review when it is determined by CAP or the Associate Vice Chancellor for Academic Personnel that additional expert analysis is required in order to make a more informed recommendation. CAP may waive the requirement of ad hoc committee review in appointment cases at Professor VI or above. CAP may act as its own internal ad hoc committee in cases other than recommendations for termination.

II. Make-up of Ad Hoc Review Committees

Ad hoc review committees are made up of three members plus a non-voting departmental representative. Normally the Department Chair will be asked to serve as the departmental representative. If the Department Chair is unable to serve, a vice-chair or other senior faculty member in the department may be asked to serve.

When an ad hoc review committee is considering its recommendation, the department representative will participate in the discussions to some reasonable point before the conclusion of the discussion and the vote. The departmental representative is charged with providing information about the departmental recommendation and about discipline and department specific norms and expectations, not their own personal position on the case. A departmental representative will be provided an adequate opportunity to present any and all relevant information that they wish or are asked to provide, but they will not contribute to, or see the letter of the ad hoc review committee.

III. Appointment of Ad Hoc Review Committees

Faculty members are nominated by the Committee on Academic Personnel to serve on ad hoc review committees. If the Department Chair is unable to serve as the departmental representative, the Associate Vice Chancellor for Academic Personnel may request that the department chair recommend another appropriate member of the department to serve in this role.

The Department Chair must not disclose to the candidate or to other faculty in the department the names included in the recommendation.

Committees are appointed by the Associate Vice Chancellor for Academic Personnel. The committee is informed that its membership, deliberations and decision are strictly confidential, as is the name of the candidate. In accordance with APM 160, the candidate is entitled to receive a redacted copy of the ad hoc review committee's report, without disclosure of the identity of review committee members.

IV. Candidate Request Concerning Ad Hoc Membership

Requests concerning the membership of the ad hoc committee should be submitted by the faculty member directly to the Associate Vice Chancellor for Academic Personnel. Such requests will be kept confidential and will be honored to the extent possible. Faculty members may request the following prior to the formation of the ad hoc committee:

(a) that a member of the review committee be appointed from another UC campus.

(b) that a limited number of specific faculty members from their department not be appointed as the Department Representative for the ad hoc committee. In no case may more than 20% of the department faculty eligible for service on the particular review committee be excluded, except that one person may be named no matter how small the department.

V. Ad Hoc Committee Reports

The Chairperson of the ad hoc review committee is encouraged to write the committee report immediately after the

meeting takes place. In any event, the Chairperson's draft report is due in the Academic Senate office within 72-hours of the ad hoc committee meeting.

All members of the ad hoc committee are bound by a "modified signature waiver" under which members are obligated to sign the final version of the ad hoc committee report within three working days of being notified that the final version is ready for signature. A member's signature will be assumed if they have not physically signed the final report or submitted a minority statement by the end of the three working day period.

EVALUATION OF ADMINISTRATIVE SERVICE

(Revised 4/23)

The merit review of an administrator should follow the standard procedures for the academic review process. However, it must be acknowledged that administrators have had to surrender time they would otherwise have been able to devote to teaching, scholarship, professional activities, and other service roles, to their administrative duties. Accordingly, efforts should be made to ensure that administrators are not passed over for advancements. When assessing academic reviews for administrators, such as Department Chairs, Directors, Associate Deans, Deans, Associate Vice Chancellors, and Vice Chancellors, reviewing agencies at all levels should take care to set expectations for achievement and apply evaluative criteria in all areas of review with appropriate flexibility to account for administrators' heavier commitments and responsibilities in service to their formal roles. The principle involved is that academic leadership in itself is a significant academic activity.

At the same time, promotions/career reviews (i.e. Promotions in rank, and advancement to Step VI or to Above Scale), are of greater significance than merit increases within rank and cannot be justified on the basis of administrative service alone. The standards for promotion/career reviews may not be lessened. Further, administrative service alone cannot serve as the sole or primary grounds for acceleration or advancement in the academic review process. However, in rare cases it may be appropriate to reward significant service accomplishments in administrative leadership, when they far exceed normal expectations in the role during the merit review cycle (see RB I-36 for eligibility & guidance). In such unique and uncommon instances, the recommendations of other administrative officers, individuals outside of the department, and reviewing agencies will be particularly important. More typically, documented evidence of significant and effective leadership in service to one's administrative position would be acknowledged **at the completion of the full term of service**. Accordingly, the normative term of service should be detailed alongside activities and accomplishments.

After an administrator leaves their position, further advancements in salary or rank should be judged by the regular criteria.

PROCEDURE FOR RECALL OF SENATE FACULTY

(Revised 9/21)

A Senate Faculty member who has retired may be recalled to active teaching duty for one quarter or more. Retired faculty may also be recalled for research activity. A faculty member may be recalled 90 days after the date of retirement, or after receipt of the first retirement payment, whichever occurs first. However, in no case may a faculty member be recalled sooner than 30 calendar days after the retirement date. Appointments may not exceed 43% time, alone or in combination with other recall appointments. Exceptions to this limit may be granted only by the Chancellor and will rarely occur. A faculty member considering returning on a recall basis in the quarter immediately following retirement should consult with the benefits office.

Requests for recall appointments are made using the Academic Recall Appointment Form.

I. Teaching appointments

The appropriate annual salary for the recall appointment is the annual rate at the time of retirement, range adjusted forward. A retired Senate Faculty member may be recalled to teach one quarter or more. If recalled for only one quarter, the appointment should be on a 9/9 basis. If the appointment is for one full year it may be made on a 9/12 basis. Appointments will be entered into UCPath using the Recall Teaching title.

II. Research appointments

A retired Senate Faculty member who is recalled to serve in an extramurally funded research capacity may be appointed as a Research Professor. These are normally year-to year appointments. Appointments may also be made for shorter periods of time. The terms and conditions of employment for a faculty member who is recalled for research parallel those of a faculty member who is recalled to teach. In the event that a Senate Faculty member is recalled both to teach and for extramurally funded research in the same department for the same time period, the Research Professor title will be used. Requests for appointment as Research Professor may be sent directly from the employing unit to Academic Personnel. Paid appointments as Research Professor are made on an 11/12 rate. The appropriate annual rate at the time of retirement, range adjusted forward, converted to an 11/12 basis (multiply the current 9/12 rate x 1.16). Appointments will be entered into UCPath using the Recall Faculty title.

III. Administrative appointments

Recall appointments will be approved for administrative service only in rare and unusual circumstances and may be approved only by the Executive Vice Chancellor after consultation with the Associate Vice Chancellor for Academic Personnel. Terms of such appointments will be individually set based on the nature of the service. The Academic Personnel office should be consulted to determine the appropriate annualized salary rate. Appointments will be entered into UCPath using the Recall Faculty title.

IV. Approval authority

Title	Job Code	Approval Authority
Professor Emeriti	1132	
Sr. Lecturer SOE Emeriti	1621	
Lecturer SOE Emeriti	1620	
Recall: teaching	1700 (Recall-Teaching)	Dean
Recall: research	1702 (Recall-Faculty)	Associate Vice Chancellor
Recall: teaching and research	1702 (Recall-Faculty)	Associate Vice Chancellor
Recall: administrative	1702 (Recall-Faculty)	Executive Vice Chancellor

APPOINTMENT AND ADVANCEMENT

A publication of the
Committee on Academic Personnel
prepared in consultation with the
Associate Vice Chancellor for Academic Personnel
(Revised 4/23)

This compilation is intended as an aid for the use of Departmental Chairs and Senate faculty. It is not a substitute for the official documents governing appointment and advancement at UCSB, the Academic Personnel Manual and Red Binder, which are authoritative and must be carefully adhered to in personnel actions. Rather it is intended to provide a comprehensive overview of the policies and procedures governing appointment and advancement from the perspective of the Committee on Academic Personnel. Key terms are in **boldface type** to draw attention to their importance; *italics* are used for emphasis.

The official manual governing personnel actions is the Academic Personnel Manual (APM), issued and revised by the President of the University. UCSB campus policies and procedures are contained in the "Red Binder." The President also issues an annual list of salary scales. These documents are available for reference at https://ap.ucsb.edu/

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I. RANKS, STEPS, AND NORMAL PERIODS OF SERVICE WITHIN STEPS

The information in this summary concerns primarily the faculty in the **professorial and lecturer security of employment (SOE) ranks**: Assistant Professor/Lecturer PSOE, Associate Professor/Lecturer SOE, and Professor/Sr. Lecturer SOE. There is a normal period of service for most **steps** within these ranks, as indicated in the following table. However, movement between ranks **(promotion)** or from one step to another within a rank **(merit advancement** or **merit increase)** depends upon merit. It is never automatic, and it can be faster than normal in recognition of outstanding performance (an **acceleration**) or delayed when performance is not up to normal (a **deceleration**).

REGULAR RANKS, STEPS, NORMAL PERIODS OF SERVICE

ASSISTANT PROFESSOR LECURER PSOE (8 year limit, non-tenured)		ASSOCIATE PROFESSOR LECTURER SOE (6 years normal, tenured)		PROFESSOR SR. LECTURER SOE (indefinite, tenured)	
Step	Normal period of service	Step	Normal period of service	Step	Normal period of service
I	2 (not used at UCSB)				
II	2				
III	2				
IV	2				
V	2 (over-lapping step)	I	2		
VI	2 (not used at UCSB)	II	2		
		III	2		
		IV	3 (over-lapping step)	I	3
		V	3 (not used at UCSB)	II	3
				III	3
				IV	3
				V	3
				VI	3
				VII	3
				VIII	3
				IX	4

Information contained within this document applies equally to both series unless otherwise noted. For ease of use, only the professorial series ranks are listed.

Assistant Professor V and Associate Professor IV are **special steps**. Service at these steps may count as **"time-in- step"** in the related steps of the next higher rank; e.g., after two years as Associate Professor IV and one year as Professor I, a candidate may be reviewed for a normal merit increase to Professor II, just as would be done after three years at Professor I. Normal advancement occupies six years at the Assistant Professor rank with eight as the maximum before either promotion or termination; six years at the Associate Professor rank; and an indefinite time in the Professorship.

In addition to the regular steps, some appointments or advancements may be made **Above Scale**, i.e., to salaries above Professor IX. These salaries are reserved for scholars of "the highest distinction, whose work has been internationally recognized and acclaimed." An exceptionally high salary must be approved by the President.

Service at Professor V through IX, or at Above Scale salary may be for indefinite duration. Everyone will be formally evaluated at least once every five years (**a mandatory review**).

Off-scale salary supplements

An individual may be given an **off-scale** salary, consisting of a **salary supplement** added to the listed salary at the assigned step. A recommendation for such a salary increase must be fully justified by the department or reviewing agencies recommending it. At UCSB off-scale salaries are used to respond to external market conditions in recruitment and retention, as well as to provide a partial reward in cases when a full step advancement is not indicated.

II. MATERIALS REQUIRED FOR PERSONNEL ACTIONS

Each time a recommendation for a personnel action is initiated, a **dossier** or **file** containing materials relevant to that recommendation is prepared by the Department Chair. The complete dossier includes the following:

1. The **UCSB Biography** form supplied by the candidate at the time of appointment, which summarizes their professional career including salaries up to that time. (*Needed only for appointments*)

2. The updated **Bio-Bibliography** prepared by the faculty member (Not required for appointments)

3. In certain cases **extramural letters** of appraisal or recommendation from qualified experts evaluating the quality of a person's research or creative work and their professional reputation. Such letters are required in all cases of appointment and promotion, and for advancement to Professor Above Scale. A minimum of six analytical letters is required, and at least half should be chosen by the Chair in consultation with the department but independent of the candidate. The other half can be nominated by the candidate. The department's submission must include a coded list including a brief resume of the qualifications of each reviewer, indicating whether the reviewer was chosen by the candidate or by the department. This list should also indicate any relationships between the candidate and the reviewer (e.g., thesis advisor, co-author, etc.) and if the reviewer has previously written for the candidate.

   The Chair should have minimum contact with the extramural evaluators beyond the letter soliciting the evaluation, because intended or unintended suggestions or hints to the evaluators may distort results and work unfairly either for or against the candidate.

4. A letter of recommendation initiating the proposed appointment or advancement, normally written by the Department Chair. (When a Chair is under consideration for advancement the case will be handled by a Vice-Chair or other senior faculty member). The Chair's letter should be accompanied by all relevant information, including particularly the signed **Safeguard Statement** in advancement cases.

5. A thorough evaluation of teaching as described in Section V below.

6. A complete set of publications covering the review period. "Review period" in cases for appointment and promotion means the complete record of the candidate (in cases where this is impractical, a complete record of the most recent work and a sample of other significant works may be submitted). For merit review cases "review period" means years at step, ignoring any off-scale salary supplement. All items are to be submitted electronically via links in the bio-bib. If this is not possible, the department must work with the respective Dean's office to arrange alternate submission.

III. THE REVIEW PROCESS

<u>Overview of the reviewing process</u> (many of these steps are not applicable to appointment cases)

1. In the spring the Associate Vice Chancellor for Academic Personnel publishes a list of faculty members eligible for normal advancement or promotion during the coming academic year.

2. The Department Chair notifies each faculty member of their eligibility for personnel review. The Chair should also review faculty not on the eligibility list for the possibility of accelerated merit or promotion.

3. The faculty member *either* requests a deferral of action for one year *or* prepares evidence for the review, with the assistance of a departmental personnel committee, or a case supervisor, or the Chair. Deadlines for submission of materials to departments should be set in line with College or Campus deadlines to allow timely processing of cases.

4. The candidate is given the opportunity to respond to the materials in the file.

5. The case is presented and discussed. This is followed by a vote of eligible faculty in accordance with Senate By-Law 55 or other departmental voting procedures approved by CAP.

6. The Chair writes a letter analyzing the case and summarizing the department's recommendation. This letter is available for inspection, amendment, or rebuttal by all eligible department members.

7. A candidate for advancement is given an oral summary or written copy of the departmental recommendation and

provided the opportunity to comment.

8. The candidate completes the Safeguard Statement.

9. A separate confidential letter from the Chair should not be submitted except on the rare occasions when evidence exists that could not be appropriately shared in the department letter.

10. The department letter, along with all publications, teaching evidence and other materials pertaining to this review (the "dossier") is sent forward to the Dean.

11. In cases where the Dean does not have final authority, the dossier, including the Dean's letter, is sent to the Office of Academic Personnel, which forwards it to the Committee on Academic Personnel (CAP). CAP assigns the case to one or more members, usually from as similar a field as possible. (Note: cases are *never* assigned to a CAP member who belongs to the candidate's own department; in fact, CAP members are never present during discussion of cases from their own departments.)

12. In appointments and promotion to tenure, terminations, and advancements to Above Scale, an ad hoc review committee is appointed by the Chancellor's designee on nomination from CAP. CAP may elect to serve as their own internal ad hoc except in the case of a terminal appointment recommendation.

13. CAP considers the case *after* the ad hoc committee and the Dean have submitted their letters. If no ad hoc review is required, CAP proceeds once the Dean's recommendation is received. A draft letter is written by the assigned member, distributed to the whole committee, read aloud, and fully discussed. A vote is taken in the rare cases when a consensus recommendation cannot be reached.

14. CAP's recommendation is forwarded to the Office of Academic Personnel for the final decision. If the Chancellor's (or designee's) tentative decision differs from CAP's and/or the Dean's recommendation by 1 step/increment or more (in salary or step), it is sent back to that agency for further comment. If the recommendations differ by less than 1 step/increment but greater than ½ step/increment, the Chancellor (or designee) will provide written justification of the recommendation to the file. When the recommendation differs by a ½ step/increment or less, the Chancellor (or designee) will not be required to consult further.

15. The Chancellor's (or designee's) final decision is communicated to the department and the candidate. In certain cases a "Chancellor's tentative decision" must precede the final decision. (See Red Binder I-39)

<u>Details of the review process</u>

1. <u>Preparation of the Recommendation:</u> (see Red Binder I-35) Recommendations for personnel actions normally originate with the Department Chair. Their letter should provide a comprehensive assessment of the candidate's qualifications together with detailed evidence to support the evaluation. The letter should also present a report of the Chair's consultation with the members of the department, including the vote tally and the basis for any dissent. The Chair should explain any apparent anomalies in the voting, e.g., a disproportionately small number of votes relative to departmental size, or excessive abstentions.

   The departmental letter should be a complete professional evaluation (accurate and analytic), including both supportive and contrary evidence. At the same time the letter should be succinct. Extended quotations from supporting documents and rhetorical statements are to be avoided, since overly long letters are a burden to all reviewing agencies. The Chair should make clear which portions of the letter refer to the candidate's past accomplishments and which refer to accomplishments falling within the current **review period**.

   The candidate has the right to augment the dossier with items relevant to the case, so long as the submission does not violate the privacy of third parties or other campus policies. Such materials may include self-assessments, award letters and other professional items. Dissenting department members have the right to have a minority report included with the department letter. However, a minority report should not be submitted unless, after good-faith efforts by all parties, the minority believes that its views are not accurately represented in the Chair's letter.

   The Chair should also communicate with the candidate as required by Section 220-80 of the APM and outlined in "Departmental Checklist for Academic Advancement", Red Binder I-22. An oral summary or preferably a written copy of the departmental letter is given to the candidate as part of the review process.

2. <u>The Dean</u> of the appropriate college or division makes their analysis and recommendation without reference to

the recommendation of any reviewing agency other than the Department. They have access only to the departmental file, to previous departmental letters, and to previous Dean's recommendations. Of course, publicly available scholarly materials are available to all reviewing agencies.

3. On behalf of the Chancellor, An *ad hoc* review committee (nominated by CAP and appointed by the Associate Vice Chancellor for Academic Personnel) is may be formed for cases involving promotion to tenure, tenure appointment, and terminal appointment. The membership of such a committee is known only to CAP and to the Chancellor, the Executive Vice Chancellor, the Associate Vice Chancellor for Academic Personnel, and the committee itself. In promotion and appointment cases, the ad hoc review committee includes a representative from the Department who is not present during the final discussion and vote; it normally includes faculty of the same or higher rank and step from related departments. The ad hoc review committee makes its recommendation independently of all other reviewing agencies; it has access only to the file as it comes from the department. It does not have access to the prior personnel review file, to the Dean's letter, or to a separate confidential letter from the Chair, if one was submitted.

4. The Committee on Academic Personnel has access to the analyses and recommendations of all the aforementioned agencies, and to previous recommendations concerning the candidate.

5. The Chancellor (or designee) reviews the recommendations of all reviewing agencies (department, Dean's office, ad hoc review committee, if any, and CAP). If there is an inclination to make a decision which differs from the CAP's or the Dean's recommendation, that agency is informed of the tentative decision and given the opportunity to respond if the recommendation differs by 1 step/increment or more (in salary or step). If the recommendations differ by less than 1 step/increment but greater than ½ step/increment, the Chancellor (or designee) will provide written justification of the recommendation to the file. When the recommendation differs by a ½ step/increment or less, the Chancellor (or designee) will not be required to consult further.

IV. SOME PROCEDURAL MATTERS

1. Requests for Further Information: Any reviewing agency may request additional information or documentation. The Dean sometimes requests such information directly from the Chair; ad hoc review committees and CAP always make such requests through the Associate Vice Chancellor for Academic Personnel. Such requests do not reflect on the merit of the candidate, nor do they imply that the departmental recommendation is not credible. They are meant to make the case file complete. The candidate should be informed of additional materials obtained (APM, Section 220-80-h).

   Chairs should take special care to prepare the case thoroughly and properly. Significant delays result from improper or inadequate preparation of cases at the departmental level. When a reviewing agency requests additional information, a deadline for submission of those materials will be included in the request. If the materials are not received by the stated deadline the case will proceed through the review process without the materials. Failure to submit requested materials may have an effect on the outcome of the review.

2. Reconsideration: In special circumstances, after a decision is made, the Department Chair may begin the process of review again by requesting reconsideration. *Requests for reconsideration must include important additional evidence or documentation of previously mentioned work pertinent to the review period omitted in the original recommendation, such as a major publication, award, etc.,* ***or*** *evidence that the decision was not based on a reasonable evaluation of the case*. Sometimes departments may wish to request reconsideration without such evidence in order to show solidarity with the candidate or for similar reasons. This clogs the whole process. *Such requests should not be submitted*.

3. Non-Reappointment: When it is decided that an Assistant Professor should not be reappointed (given a **terminal appointment**), or when a department recommendation for promotion to tenure may be denied, the Assistant Professor is given due notice, in accord with APM Section 220-20-c. Terminal appointments, whether originated by the department or elsewhere, are always given a full review, including consideration by the Dean, ad hoc committee, and CAP. (See APM Section 220-84.)

4. Formal Appraisal: The APM requires that at a certain point in their career each Assistant Professor should be appraised. The purpose of the **appraisal** as stated in the APM is:

   to arrive at preliminary assessments of the prospects of candidates for eventual promotion to tenure

rank as well as to identify appointees whose records of performance and achievement are below the level of excellence desired for continued membership in the faculty. (Section 220-83.)

This appraisal is normally made during the fourth year of the Assistant Professor's career at the University. When an assistant professor has been appointed at a high step, the department may recommend tenure without a preliminary appraisal, if the record merits it.

The departmental letter concerning an appraisal should contain:

a. A description and analysis of the candidate's total performance in each of the four areas of evaluation.

b. An evaluation of that performance as progress toward eventual tenure.

c. A clear statement that the recommendation of the department is: (a) "continued candidacy for eventual promotion", (b)"continued candidacy with reservations" (which should be specified), or (c) "terminal appointment". An Appraisal decision should never be interpreted as a *promise* of eventual promotion to tenure.

The appraisal recommendation may be integrated into the letter concerning the merit increase provided that the fact that an appraisal has been made is clearly stated.

After the review is completed, the Associate Vice Chancellor for Academic Personnel will provide redacted copies of the review documents to the candidate.

5. Like a recommendation for advancement, a departmental recommendation for no change in rank, step, or salary must include an evaluation of the case, a summary of the relevant evidence, a summary of departmental views, and a record of the departmental vote.

6. Sometimes a candidate asks not to be reviewed for advancement, i.e., to be granted a **deferral**; Except for Assistant Professors, deferrals are automatic if no case is submitted by the relevant deadline. For Assistant Professors, the Chair should determine whether the candidate's self-evaluation is accurate and should briefly review the available evidence in their letter. The request is then forwarded to the Dean. No person at any rank may go more than five years without a formal evaluation. Mandatory reviews may not be deferred.

7. Reviewing Agency Reports: When the candidate signs their safeguard statement, they may request that reviewing agency reports be supplied to them at the close of the case. The reviewer reports will be automatically provided once the case is decided. If the candidate does not make the request at the time the safeguard statement is signed, they may do so at a later date via AP Folio. The candidate will already have been given an oral summary or written copy of the departmental letter and of any confidential materials submitted with the file.

V. CRITERIA

The criteria for promotion and advancement in the professorial series are:

(l) Teaching
(2) Research and other Professional Creative Work
(3) Professional Competence, Activity, and Recognition
(4) University and Public Service

The criteria for promotion and advancement in the Lecturer SOE series are:

(l) Teaching
(2) Professional and/or Scholarly Achievement and Activity
(3) University and Public Service

Superior intellectual attainment, as evidenced both in teaching and in research or other creative achievements, is an indispensable qualification for appointment or promotion to tenure positions in the professorial series. Clear evidence and documentation of consistent and sustained excellence in teaching is an indispensable qualification for appointment or promotion to security of employment positions in the lecturer SOE series. Insistence upon these standards is necessary for maintenance of the quality of the University as an institution dedicated to the discovery and transmission of knowledge. Teaching, research, professional and public service contributions that promote diversity and equal opportunity are to be given due recognition in the evaluation of the candidate's qualifications. An individual may not be arbitrarily disadvantaged if he or she elected to take a childbearing or parental leave, to stop the clock, or to defer a personnel review.

Evidence of Teaching (Professorial and Lecturer SOE series)

According to University policy and the APM, professors at all ranks must have a current teaching record in order to be advanced.

In the Professorial series, effective teaching is an essential criterion for appointment or advancement. In the Lecturer SOE series, consistent and sustained excellence in teaching is the **primary** criterion for appointment or advancement. Clear documentation of ability and diligence in teaching is required.

In judging the effectiveness of a candidate's teaching, the following should be considered: the candidate's command of the subject; continuous growth in the subject field; ability to organize material and to present it with force and logic; capacity to awaken in students an awareness of the relationship of the subject to other fields of knowledge; fostering of student independence and capability to reason; spirit and enthusiasm which vitalize the candidate's learning and teaching; ability to arouse curiosity in beginning students, to encourage high standards, and to stimulate advanced students to creative work; personal attributes as they affect teaching and students; extent and skill of the candidate's participation in the general guidance, outreach and mentoring, and advising of students; effectiveness in creating an academic environment that is open and encouraging to all students. Attention should also be paid to the variety of demands placed on instructors by the types of teaching called for in various disciplines and at various levels, with proper reference to assigned teaching responsibilities. (APM 210.1.d(1)).

The principle in evaluating teaching is that consistency be applied across the campus in order to facilitate appropriate comparisons. However, to accommodate varying departmental needs, the requirement for consistency in reporting is held to a minimum number of items. Beyond that minimum, departments must determine which aspects of evaluation are the most appropriate for them and then must apply these standards consistently in all personnel cases at all levels.

The information used in assessing teaching must be summarized for each case and should include:

a. Nominal information tabulating the teaching record of the candidate during the review period, including:

   i. A listing (by course name and catalog number) of the candidate's teaching load, the academic quarters during which the courses were taught, a class-by-class enumeration of the number of students enrolled, and the number completing the two campus wide student survey items (see section b. i)

   ii. Enumeration of the M.A. and Ph. D. candidates they are supervising or has directed to completion of their degrees, the M.A. and Ph.D. committees on which they have served, and other contributions to the graduate program.

This nominal information is summarized using the standardized format contained in the bio-bibliographic form.

b. Evaluative information assessing the teaching record of the individual during the review period must be presented. In order for the numerical scores on the student evaluation forms to not assume disproportionate weight, departments are urged to include as many other criteria as appropriate.

   i. *Student respondents*: Systematic surveys of student opinions are essential for all classes taught

by the candidate. These evaluations must be part of the record. The departmental letter must compare the candidate's scores with departmental scores for comparable classes. It is understood that it may not be appropriate to conduct student evaluations in very small classes. In cases where evaluations are not available for the majority of classes due to small class size, the departmental letter must indicate the reason surveys were not conducted and an additional, alternate source of teaching evaluation (other than the overall departmental assessment) must be included in the case.

Departments may include whatever questions they like, except that:

All student evaluations *must* include at a minimum the following two standard campus wide survey items: (1) *Please rate the overall quality of the instructor's teaching:* (2) *Please rate the overall quality of the course, including its material or content, independent of the instructor's teaching*.

These evaluations must be part of the record and must be supplied for each course taught. To enable and strengthen comparative ratings on a campus wide basis, all student evaluations based on the two campus wide survey items must use a 1-5 scale with 1 high, with the following description explicitly stated on the form: (l) Excellent; (2) Very Good; (3) Good; (4) Fair; (5) Poor.

Reviewing agencies will return cases to the departments if they do not conform to these guidelines.

ii. *Departments must also provide other items they judge appropriate for determining the effectiveness of teaching*. APM 210-1 specifies that for promotion to Associate Professor and Professor comments from other faculty members on the candidate's teaching are required.

Suggestions. Open-ended questions asked of graduating seniors, graduate students, or alumni are extremely effective when compiled over time. Graduate student and/or teaching assistant ratings are useful, particularly when these ratings are collected over time and then summarized by a disinterested third party so as to guarantee student anonymity.

Placement of graduate students is one of the best measures of success in graduate teaching.

Peer assessments. On-campus and/or off-campus peer evaluations of the candidate's teaching effectiveness may also be included in the teaching dossier. These assessments may be based on evaluations of syllabi, reading lists, examinations, laboratory reports, class notes, or in-class visitations. If a department chooses such methods, they must be consistently applied at all ranks and steps with regard to principles of academic fairness. No intimidation or chilling effect arising from methodological or ideological postures may be allowed to contaminate the process.

Departmental Perspective: The Department Chair or other agency should assess the overall contributions of the candidate to the departmental curriculum on lower-division, upper-division, and graduate instruction. The department assessment might also evaluate the candidate's contribution to academic advising, thesis and dissertation directorship, committee work relating to the curriculum, “mentoring” colleagues, or frequency of invited lectures given by the candidate.

Self-Evaluation: The department should encourage the candidate to submit a brief self-assessment of teaching effectiveness. This can include past, present, and future goals and objectives and how these were (will be) met. Details may include philosophy of instruction; strategies used; innovative instructional activities; instructional grants; comments about any strengths or deficiencies suggested by students or peers.

The department should provide such self-assessments to reviewing agencies along with the case, or explain why such assessment is impractical.

Evidence of Research and Creative Work (Professorial series):

Research and creative accomplishments should be evaluated in the context of the faculty member's overall record of their intellectual growth, and of the contribution their work makes to the discipline. There should be evidence of continued and effective engagement in work of high quality and significance. No appointment or promotion to a tenured position will be made without evidence of intellectual distinction in research or creative activity. The research record should show growth, direction, and promise for the future.

A work once counted for an advancement cannot be counted again (except in highly unusual and demonstrably appropriate circumstances). The departmental letter must present the publication record for the current review period according to the following format: [A] Published work; [B] Work in press; [C] Work submitted; [D] work in progress. "Work in press" means work that has been formally accepted, completed, and is in the process of being published. In-Press work is counted toward advancement and evidence should be supplied documenting the In Press status. "Work submitted" is work that has been submitted but not yet accepted. This work is not usually counted for the advancement, but it is used as evidence of continuing scholarly productivity. "Work in progress" is work that has not been completed and is available for review. Such work is not counted for the advancement, but it can be used as evidence of continuing research activity. Departmental practice will dictate if work in progress is included in the case. If nonstandard terms such as "forthcoming" are also used, the department must define them carefully and state how they relate to the three categories above. *Not doing this may prevent a candidate from receiving proper credit or cause other anomalies in the review process.*

Classifying works is not always easy, but identification should be as precise as possible, and should refer to intellectual content rather than to physical format. For example, in literature and history a "book" may be an extended piece of research reviewed for publication by expert referees; such a work should be distinguished from editions, anthologies, translations, or collections of other scholars' work. An "article" is normally a piece of research published in a refereed scholarly journal; it should be distinguished from popular pieces, preliminary research reports, reports for industrial or governmental agencies, and chapters (i.e., solicited pieces of an interpretative and summarizing nature). Similarly, in many disciplines, a review-article is normally a survey of current research in the field, not a lengthy book-review; while "editions" may be mere reprints with brief introductions, or they may be major works of historical reconstruction and critical interpretation. In different disciplines the standard terms (and the possibilities of ambiguity) are different; but in every case the classification should be as clear and helpful as possible.

It will help reviewing agencies to accurately evaluate the record if departments comment upon the prestige and significance of journals, publishers, or exhibition or performance venues in particular fields, along with other accepted measures or impact in a discipline (such as citation indexes or reviews).

Textbooks, reports, circulars, and similar publications are normally considered evidence of teaching ability or public service. However contributions by faculty members to the professional literature or to the advancement of professional practice or professional education, should be judged creative work when they present new ideas or incorporate original scholarly research. (APM 210.1.d(2)).

In certain fields such as art, architecture, dance, music, literature, and drama, distinguished creativity should receive consideration equivalent to that accorded to distinction attained in research. In evaluating artistic creativity, an attempt should be made to define the candidate's merit in the light of such criteria as originality, scope, richness, and depth of creative expression. An important element of distinction is the extent of regional, national, or international recognition.

The departmental letter must assess the degree and quality of the candidate's role in any collaborative work, or explain why such assessment is impracticable.

Professional Competence and Activity (Professorial series):

Evidence includes such items as a) election to significant offices of professional or learned societies; b) appointment as editor or referee for professional journals or other publications; c) invitations to lecture, present papers, review books, perform or exhibit; d) awards, grants or honors bestowed by organizations or foundations; e) requests for consultative service. Opinions expressed by extramural evaluators, and reviews of the candidate's work or citations of their work by other researchers also constitute evidence of professional recognition. Departments should provide background and context for these accomplishments so reviewing agencies can evaluate their significance and importance.

Professional and/or Scholarly Achievement and Activity (Lecturer SOE series)

Professional and/or scholarly activities may be related to the underlying discipline itself or to the pedagogy. Such activities should provide evidence of achievement, leadership, and/or influence on the campus or beyond. Certain administrative work (e.g., of learning centers and teaching programs) and community outreach work are also relevant, as would be presentations of seminars or lectures at other institutions or professional societies, or participation in scholarly activities (e.g., summer seminars) designed to enhance scholarly expertise in relevant fields. Other records of participation in intensive programs of study - in order to be a more effective teacher and scholar, with the goal of enhancing one's teaching and scholarly responsibilities - are also relevant evidence of professional and/or scholarly activity. Creative activities count as relevant professional and/or scholarly activities in appropriate disciplines. In certain fields, such as art, architecture, dance, music, literature, and drama, an accomplished creation should receive consideration as an example of professional and/or scholarly achievement and activity. In evaluating creative activities, an attempt should be made to define the candidate's merit in light of such criteria as originality, scope, richness, and depth of creative expression. Evidence includes such items as:

a. Documentation of the development of or contributions to:
   i. Original materials designed to improve learning outcomes;
   ii. Evidence-based design and evaluation of educational curricula or pedagogy;
   iii. Administration and evaluation of a teaching program or a learning center;
   iv. Systematic quality improvement programs and evaluation of their implementation;
   v. Discipline-specific information systems;
   vi. Development and evaluation of community outreach or community-oriented programs.

b. First, senior, or collaborative authorship of scholarly or professional publication;

c. Accomplished performance, including conducting and directing;

d. Accomplished artistic or literary creation, including exhibits;

e. Accepted invitations to present seminars or lectures at other institutions or before professional societies.

Activities may be listed on the bio-bib in the separate traditional categories of research/creative activity and University/Public service, or may be combined into a single category of Professional and/or Scholarly Achievement and Activity.

University and Public Service (Professorial and Lecturer SOE series):

The bio-bibliographic update should include a list of the candidate's service (with dates) in departmental, Senate, other campus, and administrative capacities (including committee service), and of their formal service to the community or to public agencies. Evaluation of the quality of their service in these areas is important. Recognition should be accorded faculty for able administration of faculty governance; it should also be accorded for able service to the community, state or nation. Contributions to student welfare, mentorship and to affirmative action efforts should be recognized. Periods of service on various committees should be dated.

As faculty advance in rank and step, expectations for engagement in meaningful service increase proportionally. Non-tenured faculty should be cautioned against undertaking too many committee assignments, since these may interfere with the two main areas for promotion, research and teaching. Most service at both the Assistant Professor/Lecturer PSOE and Associate Professor/Lecturer SOE rank should be at the departmental level, however Associate Professors/Lecturers SOE may begin to take on broader campus service. At the Professor/Sr. Lecturer SOE rank, campus service, in addition to departmental service is important, particularly at the higher steps of the rank, and notably for advancement to and within Above Scale.

VI. CONFIDENTIALITY AND PERSONNEL SAFEGUARDS

Our system of review depends upon impartial professional judgment, and confidentiality has always been essential to the effective functioning of the system. One reason for confidentiality is that it protects impartial judgments from

pressures of other interested parties. At UC, confidentiality applies to the votes and analyses of individual department members; to the authorship of extramural letters of evaluation; and to the membership of ad hoc review committees.

Confidentiality, however, is consistent with the rights of candidates to understand the evidence and the criteria upon which they are judged. The details of a candidate's rights in this area are described in APM Sections 160 and 220 and are designed to assure that the use of confidential documents does not cloak abuse.

VII. DEPARTMENTAL VOTING ON PERSONNEL CASES

Departmental voting rights in personnel cases are governed by **SENATE BY-LAW 55** (Santa Barbara Division By Law 240). Substantial differences among departments exist. *Departmental voting plans must be approved by the CAP and be on file in the Office of Academic Personnel.*

VIII. SELF-ASSESSMENT OF CONTRIBUTIONS TO ADVANCING DIVERSITY, EQUITY, AND INCLUSION ("DIVERSITY STATEMENT")

The UC system-wide policy regarding the appointment and advancement of its faculty (APM 210.1.d) states: "The University of California is committed to excellence and equity in every facet of its mission. Contributions in all areas of faculty achievement that promote equal opportunity and diversity should be given due recognition in academic personnel process, and they should be evaluated and credited in the same way as other faculty achievements." Providing a diversity statement as a part of the review process assists reviewing agencies in understanding and recognizing the range and extent of faculty efforts addressing diversity, equity and inclusion. Such work can often go unrecognized for faculty members, as it may involve activities that are difficult to 'count' or may seem indistinct from other areas of review without additional context. For example, a faculty member may be called upon to informally or unofficially mentor underrepresented, underserved, diverse students who seek-out that faculty member due to shared identities or experiences.

Although not a separate category in the personnel review process (which includes Research/Creative Activities, Teaching/Mentoring, Professional Activities, and Service) crediting efforts which advance diversity, equity, and inclusion can augment assessments in any one of the 4 areas of review. In these cases, such recognitions are meant to highlight diversity work that is above and beyond the normal and typical expectations for a faculty member. For example, mentoring a student from an underserved group is within the expected scope of duties and would not typically, in isolation, indicate efforts that warrant additional recognition. Similarly, including demographic variables that incorporate underrepresented populations in research studies does not suggest engagement exceeding normative expectations. There is no presumption that all faculty will engage with this opportunity, nor are diversity statements required, however, it is anticipated that many faculty will use such statements to articulate the diversity work they have been involved in at our increasingly inclusive University (as described in APM 210.1.d). Such descriptions should be sufficiently detailed and provide appropriate context for understanding how these efforts go beyond normative expectations. As with the teaching self-assessment, the diversity statement is an opportunity to provide context and evidence of impact or effectiveness towards a fuller understanding of those contributions. Simple enumeration of material evident in the file (e.g., lists of activities or students supervised) does not by itself substantially advance the review process in this area. Additionally, to be taken into consideration by reviewing agencies, all material listed in diversity statements should also be present on the bio-bib. Whenever possible, these efforts should be corroborated at various levels of the review process (faculty statement, department letter, letter from the Dean). Accuracy of the diversity statement is the responsibility of the faculty member, as is the case with the bio-bibliography information generally. The length of diversity statements will depend on the extent and complexity of contributions; an effort should be made to keep the statements succinct. Statements on diversity contributions may also be woven throughout the candidate's teaching or research self-assessments, into review letters from the Department or Dean, or in a stand-alone statement.

SECTION II: TEMPORARY TEACHING TITLES

UNIT 18 Faculty and Supervisor of Teacher Education Series
(Revised 2/23)

I. Definition

These titles are used to designate individuals who are appointed 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 the Memorandum of Understanding (MOU) for the Non-Senate Instructional Unit (Unit 18).

II. Ranks and Steps

Lecturer 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.

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.

IV. Term of Appointment

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

B. Subsequent to a positive Excellence Review, a reappointment which commences after 18 or more quarters of service within the same department at UCSB will be a Continuing Appointment (See Red Binder II-8 and II-9).

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 are compensated at a rate within the published salary scale in Table 15. 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.

C. 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-9. Subsequent merit reviews will be conducted every three years to be effective July 1—see Red Binder II-10. Continuing Appointees are compensated at rates from the published salary scale in Table 16.

D. Appointments of a full academic year (three quarters) will be made on a 9/12 basis effective July 1.

E. Appointments for only one or two 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. 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 of service in the same department.

A reappointment to one of these titles requires an evaluation of the performance of the individual in accord with Article 7A. Evaluations are to be made on the basis of teaching effectiveness per Article 7A.G.2, academic responsibility per Article 3, and other assigned duties. See Red Binder II-2, II-3, and II-4 for procedural guidelines.

B. Appointments and reappointments that commence after 18 or more quarters 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-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 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 individual must re-apply to and complete the recruitment requirements 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.

IX. Non-reappointment, Reduction of Time, and Layoff

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.

X. Approval Authority

Action	Authority
Workload	Dean
Appointments and reappointments	Dean
Pre-Six Assessments	Department
Pre-Six Academic Reviews	Department
Excellence Review	AVC
Promotion to Sr. Continuing Lecturer	AVC
Continuing appointment merits	Dean
Recall appointments	Dean

II-2
GUIDELINES FOR PRE-SIX REAPPOINTMENT
(Revised 2/23)

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 7.A.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
PRE-SIX ASSESSMENTS
(Revised 2/23)

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.

PRE-SIX ACADEMIC REVIEWS

(Revised 2/23)

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.

II-8
GUIDELINES FOR CONTINUING APPOINTMENT BASE FTE
(Revised 2/23)

The consideration of the employment of Unit 18 faculty 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 (appointees to the Professorial and Lecturers with Security of Employment series);

2. Teaching needs not met by 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. Unit 18 faculty will be employed when needs cannot be met as described under 1. and 2. above.

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.

<u>Augmentation of Continuing Appointment base:</u>

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.-

EXCELLENCE REVIEWS

(Revised 2/24)

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. Departments should strive to ensure that at least half the letters submitted with the case come from references chosen by the Chair in consultation with the department, but independent of feedback from the candidate and without consulting the candidate. 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 reason (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 reflect all committee views, including those of dissenting members. 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. 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.

CONTINUING AND SENIOR CONTINUING LECTURER MERIT REVIEWS

(Revised 2/23)

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 reflect all committee views, including those of dissenting members. 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. 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".

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.

PROMOTION TO SENIOR CONTINUING LECTURER

(Revised 2/24)

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. Departments should strive to ensure that at least half the letters submitted with the case come from references chosen by the Chair in consultation with the department, but independent of feedback from the candidate and without consulting the candidate. 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 reason (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 reflect all committee views, including those of dissenting members. 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. 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.

PRE-SIX UNIT 18 FACULTY APPOINTMENT/REAPPOINTMENT CHECKLIST

(Revised 2/23)

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?

	9/9 pay basis	9/12 pay basis
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?

	9/9 pay basis	9/12 pay basis
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 2/23)

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: 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 BinderI-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?

V. **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 statement? 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 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?

VII. **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?

LECTURER AND SUPERVISOR OF TEACHER EDUCATION: PROCEDURAL SAFEGUARD STATEMENT

(Revised 2/23)

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) 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.

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

   ☐ B. Oral Summary

   ☐ C. Chose not to receive contents

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 _____

II-18

TEACHER-SPECIAL PROGRAMS

(10/10)

I. Definition

The title of Teacher-Special Programs is used for individuals who are teaching non-regular classes to University and non-University students on a part-time by-agreement basis.

Policies and procedures regarding terms and conditions of appointments in these titles 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. Appointment Criteria and Conditions of use of title

Appointees to this title may hold other Non-Senate instructional titles (i.e. Lecturer) or other non-senate academic titles or may hold this title alone.

III. Terms of appointment and compensation

Appointments will be made only on a by-agreement basis and will be made only for non-regular classes scheduled for periods of less than one full quarter or in the summer. The title may not be used as a method of paying additional compensation beyond 100% salary. Compensation levels are negotiated based on the experience of the individual, the hours to be worked, and the complexity of the assignment.

V. Approval authority

Action	Authority
All appointments	AVC Academic Personnel

CONTINUING EDUCATOR

(Revised 4/19)

I. Definition

This series is used for those appointees in Professional and Continuing Education who, as professional educators represent the University in serving the public through planning, coordinating and implementing continuing education programs, classes, conferences, short courses, discussion groups, lectures and media programs. See APM 340 for System Wide policy on Continuing Educators

II. Levels

Appointments may be made at level I, II or III.

III. Appointment Criteria

A. A candidate for appointment to a position in this series is expected to have the appropriate academic and educational background. Normally the candidate will have received the highest level terminal professional degree in the programmatic area. However, a person with a Bachelor's degree with exceptional experience in one or more professional fields relevant to services may also be appropriate to this series.

Appointees shall be judged in the context of performance in the areas of:

1. Academic planning and curriculum development.

2. Program administration/management/marketing

3. Human resource management and development

4. Professional competence

5. University and public service.

B. The appropriate level will be determined by taking into consideration such factors as program scope, program complexity and interface with UC faculty and/or industry sectors. APM 340-10c. provides guidelines for determining appropriate level. In general, the levels are differentiated as follows:

1. <u>Continuing Educator I:</u>
Appointees will have responsibility for programs that are relatively simple in their organization and that may be administered with a small support staff, or where local University or community activities have a limited breadth or a narrow focus. The appointee will typically receive general supervision.

2. <u>Continuing Educator II:</u>
Appointees will have responsibility for programs of moderate complexity. Duties may include the independent planning and coordination of a program or programs with a moderately-sized support staff or, in a smaller unit, duties that encompass multi-program development.

3. <u>Continuing Educator III:</u>
Appointees will have extensive independent academic or administrative responsibility, including primary responsibility for the administration, management, and coordination of large complex programs. Appointment at this level requires demonstrated superior professional ability and attainment, evidence of professional achievement and outstanding accomplishment in job-related activities. Appointees will normally report to the Dean of Professional and Continuing Education.

C. Appointment and reappointment requests should be processed using the checklist at Red Binder II-25.

IV. Term of appointment

A. Appointments will normally be made for one year at a time but may be made for up to three years. A performance evaluation must take place prior to each reappointment.

B. No further notice of non-reappointment is necessary for appointments at less than 50% 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). 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; and (3) the employee's 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.

V. Advancement

Movement between levels will require significant changes in the scope and complexity of the program being administered.

Merit within the level is not automatic but rather is based on individual qualifications and meritorious performance. A merit review will be conducted at least once every three years. Earlier advancement is possible when supported by the record of performance.

Evaluation of the performance should be based on the criteria listed below, as they apply to the specific position. See APM 340, Appendix A for further detail of the various criteria:

1. Academic Planning and Curriculum Development
2. Program Administration/Management/Marketing
3. Human Resource Management and Development
4. Professional Competence and Growth
5. University and Public Service

Merit requests should be prepared using the checklist on Red Binder II-25.

When processing appointments or promotions it is not appropriate in this series to solicit comments from outside evaluators as is the practice with Ladder Faculty, Researchers or Specialists. Rather, opinions from individuals at other institutions where the nominee has been employed and/or from other qualified persons having first-hand knowledge of the nominee's attainments should be included. Opinions from faculty members or other similarly qualified professionals are important in the case of proposed appointments to Rank III or above.

When soliciting extramural letters for appointment or promotion, the procedures found in Red Binder I-46, Extramural Evaluators, should be followed with wording modified as appropriate for this series.

Along with copies of any publications a representative sampling of Professional and Continuing Education programs developed by the candidate between the prior and current review should be included with a case for advancement. This sampling should include information on attendance, representative evaluations by students (if available), and a statement written by the Dean evaluating the programs.

VII. Approval Authority

Action	Authority

All actions	AVC for Academic Personnel

DOCUMENTS TO BE SUBMITTED BY THE CHAIR
CONTINUING EDUCATORS
(Revised 9/21)

APPOINTMENTS

I. **Departmental letter of recommendation**

Accurate and analytical letters of recommendation from the department are essential in the review process. See Red Binder I-35 for further detail of content of departmental recommendations:

- ☐ Are the dates of the appointment and the level of the appointment clearly stated?
- ☐ Is the recommended salary on the published salary scale?
- ☐ Is the JPF# from UC Recruit included?

II. **Complete CV and UCSB Academic biography form**

- ☐ Is the CV up to date?
- ☐ Is the UCSB Academic biography form complete, signed and dated?
- ☐ Have all links to supporting documents been verified?

III. **Job Description**

- ☐ Does the job description address program scope and complexity, degree of independence, level of professional accomplishment required and scope of impact on the campus mission?

IV. **Letters of evaluation** and list of evaluators

Letters

- ☐ Have all letters been coded?
- ☐ If the letters were sent via email, is a copy of the email and any attachment included?

Sample Solicitation Letter(s) and/or Thank you letter(s) for unsolicited letters

- ☐ Was the proper wording used in the letter (RB I-49 to I-50)?
- ☐ Is a list of all informational items sent to referees (e.g. CV, bio-bib, publications sent, etc, per RB I-46-VI) included? Is a copy of each item included as either part of the case or a one-of-a-kind item?
- ☐ If different versions of the letters or materials went out, is a sample of each included?

List of Referees, including brief Biography and indicating who selected referees

- ☐ Do the codes on the letters match the codes on the list and the codes used in the departmental letter?

V. **Supportive documentation**

- ☐ Has a representative sampling of supporting documentation been submitted?

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 <u>not</u> 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.

REAPPOINTMENTS

I. **Departmental letter of recommendation**

Accurate and analytical letters of recommendation from the department are essential in the review process. See Red Binder I-35 for further detail of content of departmental recommendations:

- ☐ Are the dates of the appointment and the level of the appointment clearly stated?
- ☐ Is the recommended salary on the published salary scale?

II. **Job Description**

- ☐ Is an updated job description included if there have been changes since the last review?
- ☐ If there have not been changes in the job description, does the departmental letter state that fact?

MERITS

I. **Departmental letter of recommendation**

Accurate and analytical letters of recommendation from the department are essential in the review process. See Red Binder I-35 for further detail of content of departmental recommendations:

- ☐ Is the letter signed and dated?
- ☐ Is the letter an accurate, extensive, and **analytical** representation of the case?
- ☐ If there is a recommendation for an acceleration, are the reasons for the acceleration specifically stated?
- ☐ In the case of a negative departmental recommendation, is the basis of the recommendation clearly documented?

II. **Updated CV or Bio-bib**

- ☐ Is the CV up to date?
- ☐ Is the Bio-Bib in the proper format?
- ☐ Is the Research section a **cumulative** list of publications (or creative activities) with a line drawn separating all new items from where the bio-bib from the last review case had ended?
- ☐ Are the numbers the same as in the previously submitted bio-bib, and have items previously listed as "In Press", "Submitted" been accounted for?
- ☐ Are all items, including "In Press", "Submitted", and "In Progress" properly numbered?
- ☐ Have all links to supporting documents been verified?

III. **Job Description**

- ☐ Is an updated job description included if there have been changes since the last review?
- ☐ If there have not been changes in the job description, does the departmental letter state that fact?

IV. **Safeguard Statement (RB III-5).**

A signed safeguard must be forwarded with each 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.

- ☐ Is it signed and dated?
- ☐ If there are no confidential documents (e.g. external letters, minority opinion report), box **6.D.** should be checked.
- ☐ Are copies of everything the candidate has provided, or been provided, included with the case (e.g. redacted letters, list of potential evaluators)?

IV. **Supportive documentation**

- [ ] Has a representative sampling of supportive documentation been submitted, including a sampling of Continuing and Professional Education Programs developed, teaching evaluations or other one-of-a-kind items as appropriate?

VISITING PROFESSOR

(Revised 9/18)

I. Definition

The Visiting prefix is used to designate one who:

1. Is appointed temporarily to perform the duties of the title to which the prefix is attached; and

2. Either has held, is on leave from, or is retired from an academic or research position at another educational institution; or whose research, creative activities or professional achievement makes a visiting appointment appropriate.

3. Fits both of the above criteria and is appointed through Summer Session. Summer Session Visiting appointments are covered by separate policies and procedures (Office of Summer Sessions Summer Visiting Faculty Appointment and Review Policies and Procedures, June 12, 2001)

See APM 230 for System-wide policy on Visiting titles.

II. Appointment Criteria

A Visiting Professor who is on leave or retired from another institution, will normally be appointed at the same rank and step as the individual's title at the home educational institution.

The criteria for evaluation shall be the same as for the corresponding regular title. Because the appointment is temporary, reasonable flexibility may be employed in the application of these criteria. Care should be taken to inform the appointee of the provisions of IV below.

Appointment of an individual who has never held a comparable academic or research position elsewhere is subject to CAP review and the approval of the Associate Vice Chancellor for Academic Personnel. Such appointment requests must meet the following criteria:

1. The appointee will have formal teaching responsibilities and will make identifiable contributions to the department through research and service.

2. Appointment as Visiting Associate Professor or Visiting Professor will require proof of professional achievements equivalent to those of UCSB faculty of the same ranks.

3. Appointments as Visiting Assistant Professor may be recommended for special fellowship programs for recent Ph.D.'s, such as the Mathematics Visiting Assistant Professor program or other national, UC, or local fellowship programs. Appointments also may be recommended to cover short-term faculty vacancies, such as those caused by retirements, leaves of absence, or temporary faculty administrative assignments. The appointee in such cases must participate in the research mission of the department and typically will contribute to the graduate program through teaching or related activities.

Appointment of an individual who does not either 1) currently hold a comparable academic or research position or 2) is retired from a comparable academic or research positon will require an open search.

III. Term of Appointment

Each appointment or reappointment with a Visiting prefix shall not exceed one year. The total period of consecutive service shall not exceed two years.

In the case of Visiting Assistant Professor Programs in Mathematics or similar disciplines where curriculum-driven justification supports the need, the total period of consecutive service may be extended to three years.

If the appointee is later considered for transfer to a corresponding appointment in the regular series, the

proposal for such transfer shall be treated as a new appointment subject to full customary review.

IV. Compensation

The salary for a visiting position is negotiated. While the salary does not have to be on-scale on the corresponding regular series scale, the salary may not be below the minimum rate for the rank. For example, a Visiting Professor may not be paid below the Professor Step I rate. Because these salaries are negotiated on an individual basis, they are not subject to range adjustments. For travel expense reimbursement, see APM 230-20h.

Visiting appointments may also be made without salary.

V. Appointment process

Requests for appointment in the Visiting Professor series must include a Departmental letter of recommendation, a UCSB Biography form and either a CV or Bio-bibliography. The Departmental letter must indicate the courses to be taught, the pay rate, the term of the appointment and information concerning the individual's current academic appointment. The JPF# from UCRecruit should also be included if a search was conducted.

For reappointment as a Visiting Professor, evaluation of past teaching is also necessary. ESCI scores and, if possible, student comments should be included with the request.

VI. Restrictions

1. An appointee with a visiting title is not a member of the Academic Senate.

2. Sabbatical leave credit may be accrued if the visiting position is immediately followed by employment as a faculty member in the regular ladder series (APM 740-11b).

3. Neither tenure nor security of employment is acquired, although eligible service with certain visiting titles is credited under the University's eight-year limit (APM 133).

VII. Approval Authority

Action	Authority
Appointments up to 6 quarters	Dean
Beyond 6 quarters	Associate Vice Chancellor
Appointments with no prior comparable academic appointment:	
Initial appointment	Associate Vice Chancellor
Reappointment up to 6 quarters	Dean
Beyond 6 quarters	Associate Vice Chancellor

SHORT TERM TEACHING

(Revised 2/24)

Departments may occasionally have need for a short-term, less than one full quarter, teaching appointment. Depending on the nature of the assignment, various types of appointments may be appropriate.

Guest Lecturers not employed by UC

Guest Lecturers may not be the instructor of record, and are limited to service of 2 weeks or less. Guest Lecturers who are not otherwise employed by UC may be compensated for travel and living expenses through an honorarium paid from the department's supplies and expense budget. The honorarium request is processed via a Form 5 through the Accounts Payable office. Guest Lecturers are not entered into UCPath. The Department Chair may sign for honoraria of $2,000 or less; honoraria of up to $4,000 must be approved by the appropriate Dean or Vice Chancellor. Honoraria exceeding $4,000 are approved by the Executive Vice Chancellor or Chancellor. Supporting documentation should include a curriculum vita and a statement of purpose.

Foreign visitors must have the proper visa if any form of financial payment is to be made to them. A J1, HI and Fl visa, issued by this campus, will allow payment of payroll and non-payroll expenses. A B1 will allow the payment of travel and subsistence only (i.e., university per diem rate and airfare expenses). A B2 will not allow reimbursement or payment of any kind. Questions regarding these matters should be directed to the Office of International Students and Scholars.

Guest Lecturers from another UC campus

For payment to a UC faculty for visits of two weeks or less, see Red Binder VI-15, one-time payments.

Guest Lectures or other short term teaching by current UCSB employees

Employees currently working at UCSB at less than 100% may take on additional teaching responsibilities, subject to appropriate approval, as long as the total employment does not exceed 100% time. For employees already employed at 100%, or in cases where the additional assignment would cause total employment to exceed 100%, departments are strongly urged to contact Academic Personnel prior to making a commitment or having the individual provide services. In cases where the employee holds a full time staff position, Human Resources must also be consulted. Employment beyond 100% will only be approved in rare and unusual circumstances. Individuals approved for appointment as a guest lecturer or other short term teaching, such as emergency partial quarter replacements, will be appointed in an appropriate teaching title using the TST earn code. Use of the TST earn code will require approval of the Associate Vice Chancellor for Academic Personnel regardless of appointment title.

WITHOUT SALARY TEACHING APPOINTMENTS

(Revised 9/18)

In order to serve as the instructor of record for a course that provides campus credit, or to formally advise graduate students, it is necessary to be appointed to a faculty title. In general, an individual who will perform these duties should be paid under the appropriate title as outlined in Red Binder section II. There are rare situations where use of a without salary teaching title may be appropriate. The without salary teaching title will normally be as either an Educator without Salary (title code 1675) or the Adjunct Professor series without salary (Red Binder V-17), dependent upon the qualifications of the individual and the range of duties to be performed.

A. Individuals holding non-Senate academic research titles (e.g. Professional Researcher, Project Scientist) may be appointed to a without salary teaching title to teach classes that are directly related to the individual's research program and/or to serve as advisors to students. Note that effort reporting implications for researchers paid from external sources must be taken into consideration.

B. Individuals holding non-research academic titles (e.g. Academic Coordinator) or staff titles (e.g. Environmental Health & Safety Officer) may be appointed to a without salary teaching title when 1) the class being taught is related to the individual's regular job duties and 2) the individual would suffer a loss in pay if time in the regular position were reduced and replaced with a paid teaching title appointment.

C. In addition, there are occasional situations when an individual not otherwise employed by the University offers to teach a course without salary. In such cases it must be clearly documented that the individual is volunteering to teach without salary. Departments are encouraged to consult with their Dean's office or Academic Personnel prior to initiating without salary teaching agreements.

Requests for appointment in the Adjunct Professor series without salary must be requested in accord with Red Binder V-17, IV. To request appointment as Educator without Salary the following documents must be submitted to Academic Personnel, via the Dean's office:

- Current CV
- UCSB Biography form
- Departmental recommendation letter that includes a summary of the candidate's qualifications, the teaching that will take place, and the justification for the use of the Educator without Salary title

SECTION III: TEMPORARY RESEARCH TITLES

TEMPORARY RESEARCH APPOINTMENTS
General Information
(Revised 2/24)

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 Memorandum of Understanding (MOU) between the University and the UAW (Academic Researchers Unit, RA) articles on Corrective Action and Dismissal (Article 6), Grievance 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:

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

Service limitations and Appointment lengths
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 for represented employees must be for a minimum of one-year, unless a shorter term may be justified based on the work, funding, or programmatic need. Reappointments for represented employees before the first advancement review must be for a minimum of one-year terms. Reappointments for represented employees 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.

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 2/23)

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

   ☐ B. Oral Summary

   ☐ C. Chose not to receive contents

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 _____

DOCUMENTS TO BE SUBMITTED BY THE CHAIR
RESEARCH APPOINTMENTS
(Revised 2/24)

All appointment cases are to be submitted via AP Folio.

I. **Department Letter:** Accurate and analytical letters of recommendation from the department are essential in the review process. See Red Binder I-35 for further detail of content of departmental recommendations

- ☐ Are the dates of the appointment, rank and step all clearly stated?
- ☐ Is the recommended salary on the published salary scale?
- ☐ If a request is being made to use the Engineering scale in a non-Engineering unit (RB III-12 V, A, 2 and RB III-14 V, A, 2) is appropriate justification provided?
- ☐ Is the off-scale supplement correct (if applicable), per off-scale general policies (RB I-8)?
- ☐ If the salary is off-scale or above scale is it rounded to the nearest $100?
- ☐ If a vote was taken, 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 no vote was taken, is the review procedure (i.e., committee, chair/director review) explained?
- ☐ Does the departmental letter, provide thorough description of the duties to be performed as justification for the rank, requested?
- ☐ Does the departmental letter provide an accurate, extensive, and **analytical** representation of the candidate's qualifications, justifying the proposed step and salary?
- ☐ If the case contains extramural letters, are letter writers identified **only** by coded list, with no identifying statements?

II. **Extramural letters of evaluation and list of evaluators** for appointment at the Associate and full level **as appropriate** for the series (See Red Binder III-12, III-14, III-16)

Extramural Letters

- ☐ Are the required number of letters included, **when appropriate** (See RB III-12, III-14, III-16)?
- ☐ Are at least half of the letters from references chosen by the Chair/Dept independent of the candidate?
- ☐ 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?
- ☐ Are any anomalies in the composition of reviewers explained?

Sample Solicitation Letter(s) and/or thank you letter(s) for unsolicited letters

- ☐ Was the proper wording used in the letter (RB I-49 to I-50, III-12, III-14, III-16)
- ☐ Is a list of all informational items sent to referees (e.g. CV, Bio-Bib, publications sent, etc, per RB I-51) included? Is a copy of each item included as either part of the case or a one-of-a-kind item?
- ☐ If different versions of either the letter or the materials went out, is a sample of each included?

List of Referees, including brief Biography and indicating who selected referees (RB I-46-V)

- ☐ 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?
- ☐ Are the names of everyone who was asked to write included? For those who did not respond is a reason for no response listed?

III. **Complete CV and UCSB Academic biography form.**

- ☐ Is the CV up to date?
- ☐ Is the UCSB Academic biography form complete, signed and dated?

IV. **Copies of publications**

- ☐ Has a representative sampling of publications been submitted?
- ☐ Have links to electronically submitted items been verified?
- ☐ If items cannot be submitted electronically, have arrangements been made with the Academic Personnel Office?

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.

TYPES OF REVIEW

(Revised 5/17)

On-time merit advancement

A merit action is considered on-time when the departmental recommendation is for a normal advance in step that does not increase or decrease the off-scale salary supplement and does not involve a special step or mandatory review. For individuals paid at the UCSB minimum rate, on-schedule advancement will be to the next step at the UCSB minimum rate

On-time merit advancement at the Assistant and Associate levels occurs after two years at step, and at the Full level after three years at step.

The Associate Vice Chancellor for Academic Personnel has approval authority for all advancement actions.

Other reviews

I. **Accelerated actions**

Departments should not hesitate to propose accelerated advancement to reward cases of superior performance. Early advancement to the next step or rank is the appropriate form of acceleration. The addition of, or an increase in, off-scale supplement will also be considered an acceleration. Departments should review candidates performing at a superior level in advance of their normal eligibility for merit increase or promotion.

II. **Decelerated actions**

A case will be considered decelerated if the candidate has been at the current step for longer than the normal years at step. The departmental letter should give an explanation for the deceleration.

III. **Promotion to the Associate level**

Professional Research Series:

The principal criterion for promotion to Associate Researcher is superior intellectual attainment in research or other creative achievement. The most useful critical assessment of "superior intellectual attainment" must come primarily from those who are established figures in the field, primarily from colleagues in the department as well as faculty in comparable departments and programs nationally and internationally. (In this connection, departments may wish to provide an operational interpretation of the phrase "superior intellectual attainment" which they consider appropriate to the particular discipline or subject-area). Candid, thorough, documented and concise assessment on this level is clearly essential if reviewing agencies are to perform their proper analytical and evaluative task. Furthermore, it is essential that a candidate's performance be measured by the highest standards of excellence that are currently recognized by a given intellectual discipline or subject-area. The level of research independence expected for promotion to Associate Researcher is equivalent to the expectation of research independence for a ladder faculty member being promoted to Associate Professor. Promotion to Associate Researcher will normally take place at the beginning of the seventh year of service and must occur no later than the end of the eighth year of service.

Project Scientist and Specialist Series:

Advancement from Assistant Project Scientist to Associate Project Scientist requires competency and an expanding level of independence. Advancement from Assistant Specialist to Associate Specialist requires the candidate to provide independent input into the planning and execution of the research and have a record of academic accomplishments.

IV. **Promotion to Full**

Professional Research Series:

Promotion to Researcher requires an accomplished record of research that is judged to be excellent within the larger discipline or field. Superior intellectual attainment, as evidenced in research or other creative achievement, is an indispensable qualification for advancement to Researcher.

Project Scientist and Specialist Series:

Advancement to Project Scientist requires competency and an expanding level of independence. Advancement to Specialist requires the candidate to provide considerable independent input into the planning and execution of the research and have a significant record of academic accomplishments.

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V. **Merit to a special step**.

Assistant Researcher V, Associate Researcher IV, Assistant Project Scientist V and Associate Project Scientist IV are "special" steps in the sense that these steps may be utilized for advancement when a candidate shows clear evidence of completed work that is likely to lead to promotion in the near future when published, but whose established record of accomplishment has not yet attained sufficient strength to warrant promotion. Service at the special steps is in lieu of service at the first step of the next rank. Once advanced to a special step, the normal progression is for promotion to the next rank. Further advancement within the special step will happen only in very rare and unusual circumstances. Upon advancement to a special step, the candidate is eligible for promotion the following year. If promoted earlier than the normal years at step for Step I of the higher rank, promotion should be lateral and eligibility for future merit will be determined based on the combination of years at the special step and years at Step I at the higher rank.

VI. **Merit to or within Above Scale**

Advancement to Above Scale is reserved for scholars of the highest distinction whose work has received international recognition. Advancement to Above Scale will normally occur after at least four years of service at the highest step within the full level rank of the series with the individual's complete academic career being reviewed. The guidelines for Senate Faculty increase to and above Scale (Red Binder I-43) apply to Researcher above scale actions. Criteria for Above Scale advancements for Project Scientists and Specialists shall be consistent with the criteria established for each series.

VII. **Mandatory reviews**

Appointees at all levels must undergo a performance review at least once every five years. This review may not be deferred. Non-submission of materials by the candidate will not constitute automatic deferral in the case of a mandatory review. If the appointee 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.

<u>Professional Research Series only:</u>

VIII. **Terminal Appointments**

If, during a review of an Assistant Researcher, a preliminary decision is made for a terminal appointment, the procedures outlined in Red Binder I-39 must be followed. Appropriate notification and opportunity for response must be provided.

IX. **Merit to Researcher VI**

Advancement to Researcher VI is based on evidence of highly distinguished scholarship. In addition, great distinction, recognized nationally or internationally in scholarly or creative achievement is required for merit to Researcher VI. This is a career review and therefore is based on a review of the individual's entire academic career.

DOCUMENTS TO BE SUBMITTED BY THE CHAIR
RESEARCH REVIEWS
(Revised 2/24)

All personnel review cases are submitted via AP Folio.

I. **Departmental letter of recommendation**
Accurate and analytical letters of recommendation from the department are essential in the review process. See Red Binder I-35 for further detail of content of departmental recommendations

For All Cases:
- ☐ Are the listed 'current' and 'proposed' salary rates the total salary rate, inclusive of any off-scale supplement?
- ☐ If the salary is off-scale or above scale is it rounded to the nearest $100?
- ☐ Is the off-scale supplement correct (if applicable), per off-scale general policies (RB I-8)?
- ☐ If a vote was taken, 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 no vote was taken, is the review procedure (i.e., committee, chair/director review) explained?
- ☐ Is the letter an accurate, extensive, and **analytical** representation of the case?
- ☐ Are all areas of review covered: research; professional activity; and, university and public service as appropriate?
- ☐ If there is a recommendation for an acceleration, are the reasons for the acceleration specifically stated?
- ☐ In the case of a negative departmental recommendation, is the basis of the recommendation clearly documented?

For Career Reviews:
- ☐ If the case contains extramural letters, letter writers identified **only** by coded list, with no identifying statements?
- ☐ Does the letter provide an overview of the career accomplishments as well as analysis of the achievements within the most recent review period?

II. **Chair's Separate Confidential Letter (optional)**
See Red Binder I-35 for further information.
- ☐ Is the letter clearly marked "Chair's Separate Confidential"?

III. **Safeguard Statement**
The candidate must sign an online safeguard *for each departmental recommendation. A signed safeguard must be forwarded with each departmental recommendation.* If it is difficult or impossible to obtain this document, the Chairperson should explain the situation and indicate in what manner they have attempted to meet the requirements outlined in the form.
- ☐ If there are no confidential documents (e.g. external letters), the appropriate box under #5 should be checked.
- ☐ Are copies of everything the candidate has provided, or been provided, included with the case (e.g. redacted letters, list of potential evaluators)?

IV. **Bio-bibliographical Update** (excluding teaching section).
- ☐ Is it in the proper format? (See Red Binder I-27)
- ☐ Is the Research section a **cumulative** list of publications (or creative activities) with a line drawn separating all new items from where the bio-bib from the last review case had ended?
- ☐ Are the numbers the same as in the previously submitted bio-bib, and have items previously listed as "In Press", "Submitted" been accounted for?
- ☐ Are all items, including "In Press", "Submitted", and "In Progress" properly numbered?
- ☐ Are publications identified as "refereed" when appropriate?
- ☐ Have all links to supporting documents and one-of-a-kind items been verified?

V. **Extramural letters of evaluation and list of evaluators** (RB I-46) for promotion to the Associate and full

level **as appropriate** for the series (See RB III-12, III-14, III-16)

Extramural Letters

- ☐ Are the required number of letters included, **when appropriate** (See RB III-12, III-14, III-16)?
- ☐ Are at least half of the letters from references chosen by the Chair/Dept independent of the candidate?
- ☐ Have all letters been coded? Are the codes also on the redacted versions?
- ☐ If the letters were sent via email, is a copy of the email and any attachment included?
- ☐ If redacted copies of the letters were provided to the candidate, is a copy included (one copy only), and did he/she check box 6A on the Procedural Safeguard Statement?

Sample Solicitation Letter(s)and/or Thank you letter(s) for unsolicited letters

- ☐ Was the proper wording used in the letter (RB I-49 to I-50, III-12, III-14, III-16)?
- ☐ Is a list of all informational items sent to referees (e.g. CV, bio-bib, publications sent, etc, per RB- 51) included? Is a copy of each item included as either part of the case or a one-of-a-kind item?
- ☐ If different versions of the letters or materials went out, is a sample of each included?

List of Referees, including brief Biography and indicating who selected referees (RB I-46-V)

- ☐ 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?
- ☐ Are the names of everyone who was asked to write included? For those who did not respond is a reason for no response listed?

VI. **Self-Assessment of research and/or other activity and accomplishments (optional)**

- ☐ If a self-assessment of research and/or other activity and accomplishments was submitted, is it included in the case? Self-statements may address research, professional activity, service, or contributions to advancing diversity, equity and inclusion.

VII. **Copies of publications**.

It is the responsibility of each candidate to maintain copies of published research or other creative work and reviews.

- ☐ Have all items included in Part I of the bio-bib for the current review period been submitted, including In Press and Submitted items?
- ☐ Has appropriate evidence been provided for In Press items?
- ☐ Do all of the titles on the actual publications match those listed on the bio-bib?
- ☐ For promotion to the Associate level, are all publications included?
- ☐ Have links to electronically submitted items been verified?
- ☐ If items cannot be submitted electronically, have arrangements been made with the Academic Personnel office?

- ☐ If any publications are missing from the file, is a note included noting which are missing and explaining why?
- ☐ For other career reviews (promotion to Full in any series, advancement to Researcher Step VI or Above Scale), are all publications since last review, and all or a representative sample of publications from the prior record included?

PROFESSIONAL RESEARCH SERIES

(Revised 2/24)

I. Definition

The titles in this series are given only to those who engage in independent research equivalent to that required for the Professor series. Individuals whose duties are defined as making significant and creative contributions to a research project, or to providing technical assistance to research activity should not be appointed in this series. For use of the Visiting prefix with this series, see Red Binder III-23. Represented employees in this series are governed by the applicable Memorandum of Understanding (MOU.) Article 21 of the MOU provides guidance specific to the Professional Research series.

II. Ranks and Steps

A. Assistant Research _____I – V (Steps V is considered a "special step")
B. Associate Research _____I – IV (Step IV is considered a "special step")
C. Research _____I –IX

The normal time of service at each step within the Assistant and Associate rank is 2 years, except for service at the special steps of Assistant Researcher V and Associate Researcher IV (Red Binder I-4, II). Within the Researcher rank normal service at Steps I-IV is 3 years. Service at Step V and above may be for an indefinite time: however, normal service is 3 years at Steps V through VIII and 4 years at Step IX and within Above Scale. Eligibility for normal advancement occurs after the normal time of service at each step. If not advanced in step at that time, the candidate will continue to be eligible each year until advancement in step occurs.

III. Appointment and Advancement Criteria

The candidate must possess a doctorate or its equivalent at the time of initial appointment. The candidate will be judged based on the following criteria:

A. Research qualifications and accomplishments equivalent to those for the Professor series, including demonstrated continuous and effective engagement in independent and creative activity of high quality and significance.

B. Professional competence and activity equivalent to those for the Professor series.

C. University and/or public service at the Associate Researcher and Researcher ranks.

An individual who currently holds a Research series appointment at UCSB and participates in research activities in a department or program in which they do not hold a salaried appointment may receive affiliated status in the host department or program.

a. The host department or program will be required to provide a statement of activities to be carried out under the affiliated status. The affiliated status may be for a specific time period or may be indefinite, as long as the primary paid appointment is active.
b. The chair/director of both the home and host department must endorse the request.
c. Affiliated status appointments are not entered into the payroll system, but will be tracked in AP Folio.

IV. Term of Appointment

A. Service as Assistant Researcher is limited to eight years of service. Six months or more of service within any fiscal year, either paid or without salary, as an Assistant Researcher or Visiting Assistant Researcher counts towards the eight-year limit.

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 Professional Research series on a fiscal year (11 months) basis. The Economics/ Engineering Professional Research salary scales will be used when either:

1. The unit is an Engineering unit (departments and research units reporting to the Dean of Engineering) or the Department of Economics

or:

2. The unit is multi or interdisciplinary and includes both engineering or economics and other disciplinary activity (for example: CNSI, ICB, MATP). In this case two additional criteria must be met: a) The individual's background and training is in engineering or economics, and b) The project with which the individual is associated is an engineering or economics project.

When option #2 is used, the justification for use of the Engineering scale must be clearly stated in the departmental appointment recommendation.

B. In most cases, a Research series appointment will be a salaried position. Without salary status may be appropriate for short periods of time, for example if the Researcher is self-funded as a PI or co-PI. A without salary appointment in this series is not appropriate if the individual holds a primary affiliation with and is funded by another academic institution or outside agency.

C. Salaries are subject to range adjustment.

D. Each source which provides compensation for service in this series must permit research.

E. Off-scale salaries are allowed within the same limits and policies as ladder faculty off-scale salaries. (Red Binder I-8)

VI. Requests for Appointment, Reappointment, 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 Departmental letter provides justification demonstrating the equivalence of the requested position to the same level faculty position, and an 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.

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). Red Binder I-22, Departmental Checklist for Academic Advancement may also be used as a guideline for departmental review. All advancement actions are based on the individual's achievements. Normal advancement will occur after 2 years at step at the Assistant or Associate level and after 3 years at the Full Research level steps I-VIII, and after 4 years at step IX or within Above Scale. Any advancement requested prior to that time will be considered an acceleration and must be justified as such. Merit increases are based on the academic record since the time of last review while promotions, merit to Researcher VI and merit to Researcher Above Scale are based on the career academic record.

All merits and promotions will be effective July 1. Completed cases must be submitted to the Academic Personnel Office or Dean's Office, as appropriate, by **March 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 Research series must undergo a performance review at least once every five

years, including an evaluation of the researcher's 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.

In cases where the final decision is a lesser advancement than recommended by the department, a reconsideration may be requested. Procedures outlined in Red Binder I-10 must be followed.

Chair/Director Letters of Recommendation

The Chair/Director's letter of recommendation for appointment or advancement should include an evaluation of the candidate's record in all review areas (see III Appointment and Advancement criteria, above). The evaluation is expected to meet the standards set forth in APM 310 which prescribes that candidates for appointment or advancement in the Research series have research qualifications equivalent to those of the corresponding ladder faculty rank. Each unit should establish set procedures for evaluation of Research appointments and advancements and development of the letter of recommendation. While a full review completed by a departmental committee knowledgeable of the candidate's field is preferred, in cases where this is not appropriate, a review done solely by the Chair, Director or P.I. is acceptable. If a committee is not formed, an explanation should be provided in the letter of recommendation. Red Binder I-35 provides additional guidance on developing the letter of recommendation.

Bio-Bibliography

It is the responsibility of each Researcher to maintain an up to date bio-bibliography (bio-bib). The bio-bib should contain information ending at the campus cut-off date of December 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

External letters of evaluation will be required in cases of: appointment as Associate Researcher, appointment as Researcher, promotion to Associate Researcher, promotion to Researcher, and merit to Researcher Above Scale. A minimum of 4 letters must be included for appointment or promotion to the Associate level. A minimum of 6 letters must be included for appointment or promotion to the Full Researcher level, or for advancement to Above Scale. At least half of the letters submitted with the case should come from references chosen by the Department or Unit independent of the candidate. Solicitations of extramural evaluations should not merely ask for opinions regarding the suitability of the candidate for promotion, but should invite analytical evaluations of the candidate's research with respect to quality and significance. Reviewing agencies reserve the right to request letters be solicited in any advancement case if it is determined that more information is necessary to support the proposed action.

In all cases of solicitation of outside letters, the sample letter for solicitation of extramural letters (Red Binder I-49) is to be used, with the following wording inserted as appropriate.

For promotion or appointment to Associate Researcher, the following wording should be inserted as appropriate:

> _____ is being considered for (an appointment/promotion to) Associate Researcher in the (department/unit). Appointment (or promotion) to Associate Researcher within the UC system requires a research record equivalent to that of an Associate Professor. Superior intellectual attainment in research is an indispensable qualification for appointment or promotion to Associate Researcher. [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

[When appropriate in promotion to Associate Researcher cases, add: UCSB considers extensions of the eight-year service limitation under circumstances that could interfere significantly with development of the qualifications necessary for advancement. 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.]

For promotion or appointment to full Researcher, the following wording should be inserted as appropriate:

_____ is being considered for (an appointment/promotion to) Researcher in the (department/unit). Appointment (or promotion) to Researcher within the UC system requires a research record equivalent to that of a Professor. A candidate for this position 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. [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 achieves 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

For appointment to Researcher, Step VI through Step IX, the following wording should be inserted as appropriate:

_____ is being considered for an appointment to Researcher [specify step] in the (dept/unit). In the UC system there are 9 steps within the rank of Researcher. The normal period of service is three years in each of the first five steps. Service at Research, Step V, may be of indefinite duration. Appointment at Step VI will be granted on evidence of highly distinguished scholarship, highly meritorious service, and evidence of excellence in research, and in addition, great distinction recognized nationally or internationally, in research. [Sample wording for evaluation request: e.g., I would greatly appreciate your evaluation of _____'s work]

For appointment as, or merit advancement to Researcher Above Scale, the following wording should be inserted as appropriate:

_____ is being considered for (an appointment as/ advancement to) Researcher Above Scale in the Department of _____. In the University of California, there are nine steps within the rank of Researcher. Steps VI, VII, VIII, and IX are reserved for highly distinguished scholars.

(Appointment/advancement) to an Above Scale salary is reserved for scholars of the highest distinction, whose work has been internationally recognized and acclaimed. [Sample wording for evaluation request: e.g., I would greatly appreciate your evaluation of _____'s work.]

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 work. All campus research facilities including labs and libraries were closed; travel was halted; access to external facilities and achieves 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

VII. Approval Authority

Action	Authority
All actions	Associate Vice Chancellor for Academic Personnel

PROJECT SCIENTIST SERIES

(Revised 9/21)

I. Definition

The titles in this series are given only to those who make significant and creative contributions to a research or creative project. Appointees may be ongoing members of a research team, or may contribute high-level skills to a specific project for a limited time. Demonstrated capacity for fully independent research or research leadership as required in the Researcher series are not required in this series. However, a broad range of knowledge and competency and a higher level of independence than appointees in the Specialist series are expected. See APM 311 for System Wide policy on Project Scientists. See Red Binder III-23 for procedures for Visiting appointments in this series. Represented employees in this series are governed by the applicable Memorandum of Understanding (MOU). Article 22 of the MOU provides guidance specific to the Project Scientist series.

II. Ranks and Steps

A. Assistant Project Scientist I – V (Step V is considered a "special step")
B. Associate Project Scientist I – IV (Step IV is considered a "special step")
C. Project Scientist I –IX

The normal time of service at each step within the Assistant and Associate rank is 2 years, except for service at the special steps of Assistant Project Scientist V and Associate Project Scientist IV (Red Binder I-4, II). Within the Project Scientist rank normal service at Steps I-IV is 3 years. Service at Step V and above may be for an indefinite time: however, normal service is 3 years at Steps V through VIII and 4 years at Step IX and within Above Scale. Eligibility for normal advancement occurs after the normal time of service at each step. If not advanced in step at that time, the candidate will continue to be eligible each year until advancement in step occurs.

III. Appointment and Advancement Criteria

The candidate must possess a doctorate or its equivalent at the time of initial appointment. The candidate will be judged based on the following criteria:

A. Demonstrated significant, original, and creative contributions to a research or creative program or project

B. Professional competence and activity

University and public service are encouraged but not required.

IV. Term of Appointment

A. 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.

B. There are no limits on service at any level in this series.

V. Compensation

A. Individuals appointed to this series are compensated on the salary scales established for the Project Scientist series on a fiscal year (11 months) basis. The Economics/Project Scientist salary scale will be used when either:

1. The unit is an Engineering unit (departments and research units reporting to the

Dean of Engineering) or the Department of Economics
or:

2. The unit is multi or interdisciplinary and includes both engineering or economics and other disciplinary activity (for example: CNSI, ICB, MATP). In this case two additional criteria must be met: a) The individual's background and training is in engineering or economics, and b) The project with which the individual is associated is an engineering or economics project.

When option #2 is used, the justification for use of the Engineering scale must be clearly stated in the departmental appointment recommendation

B. In most cases, a Project Scientist appointment will be a salaried position. Without salary status may be appropriate for short periods of time, for example if the Project Scientist is self-funded as a PI or co-PI. A without salary appointment is not appropriate if the individual holds a primary affiliation with and is funded by another academic institution or outside agency.

C. Salaries are subject to range adjustment.

D. Each source which provides compensation for service in this series must permit research.

E. Off-scale salaries are allowed within the same limits and policies as ladder faculty off-scale salaries. (Red Binder I-8)

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.

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 2 years at step at the Assistant or Associate level and after 3 years at the Full Project Scientist level steps I-VIII and after 4 years at step IX or within Above Scale. Any advancement requested prior to that time will be considered an acceleration and must be justified as such. Merit increases are based on the academic record since the time of last review while promotions are based on the career academic record.

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 Project Scientist 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 record in all review areas (see III Appointment and Advancement Criteria, above). Each unit should establish set procedures for evaluation of Project Scientist appointments and

advancements and development of the letter of recommendation. While review done solely by the Director or PI is acceptable at the Assistant Project Scientist level, a fuller review, including input from other equal or higher ranking individuals in the unit is preferable for Associate Project Scientist and Project Scientist level actions. Red Binder I-35 provides additional guidance on developing the letter of recommendation.

Bio-Bibliography

It is the responsibility of each Project Scientist 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

External letters of evaluation are normally required in cases of: appointment as Associate Project Scientist, appointment as Project Scientist, promotion to Associate Project Scientist, and promotion to Project Scientist. A minimum of four letters at the Associate level, and six at the Full Project Scientist level should be included. Due to the nature of Project Scientist positions, it is possible that in some cases solicitation of internal letters of evaluation are more helpful. Internal evaluators are defined as external to the employing unit, but internal to UCSB. In these cases, the decision to solicit from internal sources should be clearly explained in the list of reviewers. Reviewing agencies reserve the right to request that additional letters be solicited in any appointment or advancement case if it is determined that more information is necessary to support the proposed action.

When letters are solicited either externally or internally, 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 Project Scientist/Project Scientist in the (department/unit). Appointment (or Promotion) to Associate Project Scientist/Project Scientist within the UC system requires evaluation in the areas of: 1) Demonstrated significant, original, and creative contributions to a research or creative program or project, 2) Professional competence and activity. [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

In rare circumstances it may be appropriate to waive the requirement for letters of evaluation. Requests to waive letters must be submitted to the Associate Vice Chancellor for Academic Personnel prior to submission of the appointment or promotion case.

VII. Approval Authority

Action	Authority
All actions	Associate Vice Chancellor for Academic Personnel

SPECIALIST SERIES

(Revised 2/24)

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 expertise consistent with four to six years of training and/or experience in the relevant specialization. Appropriate qualifications would include possession of a master's degree (or equivalent degree) in a relevant discipline, or possession of a relevant baccalaureate degree (or equivalent degree) plus have three or more years of research experience. 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. Represented 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 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	Authority
All actions	Associate Vice Chancellor for Academic Personnel

POSTDOCTORAL SCHOLARS

(Revised 9/18)

I. Definition

Postdoctoral Scholar appointments are intended to provide a full-time training program of advanced academic preparation and research training under the mentorship of a faculty member (defined as ladder faculty or professional researcher). System-wide policies regarding Postdoctoral Scholars may be found in APM 390 and the Memorandum of Understanding (MOU) for the Postdoctoral Scholar unit.

II. Appointment Criteria

Appointment to a Postdoctoral Scholar title requires a doctorate or its equivalent. Postdoctoral Scholars may be appointed into the following titles:

- Postdoctoral Scholar- Employee (3252 or 3255)
  Used when payment for the appointment will be made via the University payroll system. This title is also used to supplement Fellow or Paid-Direct appointments when the external funding amount is below the required salary level. 3252 is used for exempt appointments and 3255 is used for non-exempt appointments.

- Postdoctoral Scholar- Fellow (3253)
  Used when the appointee has been awarded a fellowship or traineeship by an extramural funding agency that will be paid through a University account. The appointment in UCPath may be with salary or without salary (funds paid as a stipend) depending on the fund source.

- Postdoctoral Scholar- Paid Direct (3254)
  Used when the appointee is paid a fellowship or traineeship directly by the granting agency. Appointed without salary in UCPath.

- Interim Postdoctoral Scholar-Employee (3256)
  Used when a UCSB graduate student has obtained their Ph.D. and needs a short-term appointment to complete an existing project from their degree program before moving on to other employment.

The Chart Defining Postdoctoral Scholar Positions may be helpful in determining if the candidate is appropriately appointed as a Postdoctoral Scholar, and if so, which of the Postdoctoral Scholar titles to use.

III. Terms and Conditions of Employment

A. Appointment must be made at 100% time. Exceptions may be granted by the Associate Vice Chancellor for Academic Personnel in the following circumstances
   1. Personal health
   2. Family responsibilities
   3. Employment external to the University
   4. To accommodate a temporary teaching appointment at UCSB

   If the Postdoctoral Scholar is on an H-1B visa, an amendment to the H-1B must be filed reflecting the appointment percentage.

B. The total duration of appointment in any combination of Postdoctoral Scholar titles, including postdoctoral service at other institutions, may not exceed five years.

C. Appointments will be for the durations specified in the MOU as follows:
   1. Postdoctoral Scholar- Employee
      - The initial appointment will be for a minimum of one year
      - The first reappointment will be for a minimum of two years unless the initial appointment was for two years.

- Subsequent reappointments will be for a minimum of one year

Exceptions to the reappointment minimums will be granted if the funding, programmatic work, work authorization or visa end date, or five-year limit on Postdoctoral appointments will occur prior to the reappointment minimum end date or if the Postdoctoral Scholar requests a short-term bridge to other employment.

2. Postdoctoral Scholar- Fellow or Paid Direct
   - The appointment will be for the duration of the fellowship award or extramural funding.

3. Interim Postdoctoral Scholar-Employee
   - The appointment will be for the duration needed to bridge to the next employment but may not exceed one year.

IV. Requests for Appointment, Reappointment or Modification

A. Appointments, reappointments, and modifications require submission of the completed and signed Postdoctoral Scholars Appointment Form along with the following documents:

- Initial Appointments
  1. UCSB Biography form
  2. An up to date Curriculum Vitae
  3. For a Postdoctoral Scholar Fellow or Paid Direct, a copy of the external funding agency's award letter and guidelines. The letter should include specific information regarding the salary support and the amount of funding available for coverage of health insurance and other required benefits. If the external agency will not provide funds for health insurance and other benefits, a departmental funding source must be provided.

- Reappointments
  1. Annual evaluation form
  2. For a Postdoctoral Scholar Fellow or Paid Direct, an updated copy of the external funding agency's award letter and guidelines.

- Modifications
  1. For a Postdoctoral Scholar Fellow or Paid Direct, an updated copy of the external funding agency's award letter and guidelines.
  2. For a reduction in time, appropriate documentation supporting the reason for the reduction.

B. Formal offers of employment may be extended prior to conferral of the Ph.D. however such offers are contingent on conferral of the Ph.D. prior to the start date of the appointment.

C. The completed form and appropriate attachments should be submitted to Academic Personnel at least a month prior to the start date of the appointment, reappointment or modification. A copy should be maintained in the departmental files.

D. Upon notification of approval of the action from Academic Personnel, the Department must provide the Postdoctoral Scholar with an appointment letter using the sample found at https://ap.ucsb.edu/resources.for.department.analysts/postdoctoral.scholar.appointments/ along with appropriate attachments.

E. The Postdoctoral Scholar must confirm their acceptance of the offer by signing and returning the appointment letter on or before the first day of employment. Upon receipt of the acceptance, the Department may enter the Postdoctoral Scholar into UCPath. A copy of the signed acceptance must be forwarded to Academic Personnel.

V. Compensation

A. All Postdoctoral Scholars must be paid at or higher than the minimum for their experience level, as indicated on the posted salary scale (Salary Scale 23/23N.) If an extramural granting agency will provide less than the minimum salary for the experience level, the faculty mentor must arrange additional funding prior to the beginning date of the appointment in order to provide the minimum salary.

B. When a Postdoctoral Scholar- Fellow or Paid Direct requires salary supplementation as described in A., the supplement will be paid using the Postdoctoral Scholar-Employee title.

C. Movement to the next experience level pay rate must occur no later than the anniversary date of the Postdoctoral Scholar's original appointment date. Postdoctoral Scholars who are already above the new experience level rate must receive at least a 2% salary increase on their anniversary date. When the anniversary date occurs mid-appointment, the Postdoctoral Scholars Mid Appointment Salary Increase form is to be completed and submitted to Academic Personnel for approval of the increase.

D. Mid-year salary increases are allowed but do not negate the mandatory increase on the Postdoctoral Scholar's anniversary date.

VI. Leaves

A. Postdoctoral Scholars are eligible for 12 days of sick leave per twelve-month appointment period. All 12 days of leave are available for use effective the first day of the appointment. Any balance remaining at the end of an appointment period is to be carried forward to any subsequent Postdoctoral appointment or other University appointment that provides sick leave. A Postdoctoral Scholar who is reemployed after a separation with a break of less than six months will have sick leave reinstated in accord with Article 23 of the MOU.

B. Postdoctoral Scholars are eligible for 24 days of personal time off per year. All 24 days of leave are available for use effective the first day of the appointment. Balances remaining at the end of an appointment do not carry forward to subsequent appointments. Time off for Postdoctoral Scholar-Fellow and Postdoctoral Scholar-Paid Direct appointees may be paid or unpaid, depending on the provisions of the funding agency agreement.

C. Sick leave and personal time off are both recorded in full day increments. Approved absences of less than one full day do not require the use of personal time off or sick leave.

D. Postdoctoral Scholars are also eligible for other leaves of absence as outlined in Article 12 of the MOU. Leaves of absence, other than use of personal time off or sick leave, require prior approval from the Associate Vice Chancellor for Academic Personnel.

VII. Reviews and evaluations

A. The Supervisor or PI who serves as the Postdoctoral Scholar's mentor must, within a reasonable time after the beginning of each appointment communicate to the Postdoctoral Scholar the mentor's research and progress expectations for the period of the appointment. The Postdoctoral Scholar may request that the expectations be provided in writing.

B. Mentors shall conduct an annual written review of each Postdoctoral Scholar's performance. A sample evaluation form is available at: http://www.graddiv.ucsb.edu/scholars/staff-resources . The evaluation form must be submitted every 12 months or at the end of the Postdoctoral Scholar's appointment, whichever comes first. A copy of the evaluation must be provided to the Postdoctoral Scholar upon request and a copy kept in the department personnel file. In addition, mentors and Postdoctoral Scholars must periodically engage in informal oral progress assessments.

C. A Postdoctoral Scholar may elect to develop an Individual Development Plan (IDP) that identifies the Postdoctoral Scholar's research goals as well as professional development and career objectives. The Postdoctoral Scholar's mentor should, upon request from the Postdoctoral Scholar, engage in the process of reviewing and discussing the IDP with the Postdoctoral Scholar.

VI. Layoff

Layoff may occur as a result of the loss of appropriate funding for the position prior to the stated end date of the appointment. A Postdoctoral Scholar will be given 30 calendar day notice of layoff. Pay in lieu of notice may be given. The Postdoctoral Scholar may request a written summary concerning unavailability of funds. Consultation with Academic Personnel and Labor Relations is required prior to the initiation of any layoff action and should occur as far in advance as possible.

VII. Discipline and Dismissal

Discipline or dismissal may take place when, in the University's judgment, the Postdoctoral Scholar's performance or conduct merits such action. Dismissal is termination of the appointment, prior to the appointment end date based on conduct or performance such that continued employment is not justified. Discipline may take one of the following forms:

A. Written warning informing the Postdoctoral Scholar of the nature of the problem, requirements for continuation of the appointment, and possible consequences if the problems are unresolved.

B. Suspension from the training program, without pay, for a stated period of time. Unless otherwise stated, such suspension will include loss of other privileges such as parking, access to University property and library privileges.

C. Dismissal from the Postdoctoral Scholar position.
Consultation with Academic Personnel and Labor Relations is required prior to initiating any disciplinary action.

VIII. Approval Authority

Action	Authority
All actions	Associate Vice Chancellor, Academic Personnel

III-20

RESEARCH ASSOCIATE AND RESEARCH FELLOW

(Revised 2/21)

I. Definition

Research Associates and Research Fellows are non-salaried (without salary) appointments for scholars of distinction and visiting fellows whose main affiliation is elsewhere but who maintain a recognizable research affiliation with UCSB. Research Associates and Research Fellows may serve as co-PI by exception.

II. Appointment Criteria

Appointments may be made as:

Research Associate: Job code CWR 022

Research Fellow: Job code CWR 021

Appointees as Research Associate or Research Fellow must possess a Ph.D. or equivalent training in the field. In addition:

A. Appointees as Research Associate must have established a record of independent research.

B. Appointees as Research Fellow need not have had experience as an independent researcher aside from the research done for the doctoral degree. Research Fellows will normally be visiting fellows from recognized fellowship programs of from other universities.

In limited circumstances, an individual who is establishing a research relationship with UCSB but is not yet funded, and for whom UCSB is the main affiliate, may be appointed as Research Associate or Research Fellow.

The Research Associate title may also be used for Senate faculty who have resigned but will continue to have grant funding at UCSB for a short period of time.

III. Terms of Appointment

Appointments and reappointments to these titles are for specified terms, not to exceed three years per appointment. There is no limit on the total length of appointment in the series.

IV. Appointment Procedure

Appointments are processed by submitting the Contingent Workers Appointment Form , a Patent Acknowledgement form, and an up to date UCSB Biography form to the Academic Personnel office. All appointments are to be entered into UCPath by the department.

V. Approval authority

All actions	Department Chair or Director with post-audit by Academic Personnel

VISITING (RESEARCHER, PROJECT SCIENTIST, AND SPECIALIST) APPOINTMENTS

(Revised 12/19)

I. Definition

The Visiting prefix is used to designate one who:

1. Is appointed temporarily to perform the duties of the title to which the prefix is attached; and

2. Is on leave from an academic or research position at another educational institution.

See APM 230 for System Wide policy on Visiting titles.

II. Appointment Criteria

The Visiting prefix may be used with titles in the Professional Research series, Project Scientist, or Specialist series.

The criteria for evaluation shall be the same as for the corresponding regular title. Because the appointment is temporary, reasonable flexibility may be employed in the application of these criteria. Care should be taken to inform the appointee of the provisions of IV below.

III. Term of Appointment

Each appointment or reappointment with a Visiting prefix shall not exceed one year. The total period of consecutive service shall not exceed two years.

If the appointee is later considered for transfer to a corresponding appointment in the regular series, the proposal for such transfer shall be treated as a new appointment subject to full customary review.

IV. Compensation

Appointments will normally be paid, but may be made on a without salary basis in limited circumstances. For paid appointments the salary for a visiting position is negotiated. While the salary does not have to be on-scale on the corresponding regular series scale, the salary may not be below the minimum rate for the rank. For example, a Visiting Researcher may not be paid below the non-represented Researcher Step I UCSB minimum rate. Because these salaries are negotiated on an individual basis, they are not subject to range adjustments. For travel expense reimbursement, see APM 230-20h.

Without salary appointments may be appropriate when an individual is visiting UCSB but is being funded through either their home institution or some other external agency.

V. Appointment process

Requests for Visiting appointments should be prepared using the Visiting (Researcher, Project Scientist, and Specialist) Appointment Form. A UCSB Biography form and a CV must also be submitted.

VI. Restrictions

Neither tenure nor security of employment is acquired, although eligible service as a Visiting Assistant Researcher will count towards the University's eight-year limit (APM 133).

VII. Approval Authority

Action	Authority
All actions	Associate Vice Chancellor for Academic Personnel

III-25
WITHOUT SALARY VISITORS
(Revised 6/20)

I. Definition

A person on temporary leave from a non-UC academic appointment, other employment, or student enrollment at a non-UC institution or entity may be appointed as a Without Salary Visitor. Appointees to this title participate in short-term educational, research, or other academic projects under the supervision of an academic appointee.

II. Appointment Criteria

A. Appointments may be made as:

Visiting Scholar: Job Code CWR015
Visitor (Graduate Student): Job Code CWR003
Visitor (Undergraduate): Job Code CWR016

B. A Visiting Scholar must possess an appropriate terminal degree or equivalent experience. A visitor (Graduate Student) and Visitor (Undergraduate) must be enrolled in a degree granting program or equivalent at a non-UC institution of higher education. The appointment must serve an academic purpose for the unit in which the individual is appointed.

III. Terms of appointment

A. Appointments may be made for up to one year and are self-terminating. Because appointments are intended to be short-term, reappointments should be rare.

B. Service as a Visitor does not constitute employment status or student status at the University. Visitors are bound by all rules and policies of the University of California.

IV. Compensation

A. Appointees in these series are not eligible for compensation via the payroll system.

B. Visitors must be self-supporting, and may be asked to provide evidence, appropriate to the duration of the appointment, of adequate support from external sources.

C. Visitors may be eligible for reimbursement of expenses as outlined in the Business and Finance Bulletin G-28 or for supplementary support in the form of a cost of living allowance.

V. Appointment Procedure

Appointments are processed by submitting a Contingent Workers Appointment Form, a Patent Acknowledgement form, and an up to date UCSB Biography form to the Academic Personnel office. All appointments are to be entered into UCPath by the department.

VI. Approval authority

Action	Authority
All Actions	Department Chair or Director with post-audit by Academic Personnel

SECTION IV: STUDENT ACADEMIC TITLES

STUDENT ACADEMIC TITLES
General Information
(Revised 9/20)

I. Academic Student Employee agreement

Appointees to the titles of Teaching Assistant, Associate in__, Reader, and Remedial Tutor are covered by the Memorandum of Understanding (MOU) between the University and the UAW. The full contract is available on the Academic Personnel website at https://ap.ucsb.edu/policies.and.procedures/collective.bargaining.agreements/ .

Graduate Student Researchers are not covered by the MOU.

II. Employment Eligibility

A. Student appointees must maintain good academic standing. Good academic standing requires a grade-point average of at least 3.0 in academic work, fewer than 12 units of incomplete or no grades, and status within time to degree standards.

B. Student appointees must be enrolled in a minimum of 8 units in a recognized program of graduate study, and must be within the appropriate degree deadlines. Exceptions may only be granted by the Dean of the Graduate Division.

III. Limitations on Service

A. The appointment or reappointment of a student in an academic title must be at half-time (50%) or less for the period of one year or less. Percent time limitations apply to all appointments or combined appointments in any employment title. Exceptions are granted only as outlined in the Red Binder sections on specific titles. There are no exceptions to the 50% time restriction for non-citizens or appointees to the Associate title.

B. The total length of service rendered as a Teaching Assistant or Associate in any combination of the two titles may not exceed four years (i.e., 12 academic year quarters.) Exceptions may be requested for an additional two years (6 academic year quarters), but in no case for more than 18 quarters. Note: Effective June 19, 2020, the Office of the President has extended the campus temporary authority to grant exceptions up to 21 quarters due to the impacts of the COVID-19 pandemic.

IV. Pay Schedule

A. Student teaching appointments (Teaching Assistant, Associate, Reader) are academic year appointments and are paid on a 9/9 basis.

B. The pay period for Fall quarter for Teaching Assistants and Associates may consist of four months, September 1 through December 31, allowing students to receive their first check on October 1. The monthly amount of pay for four months of fall quarter is adjusted accordingly so that the total quarterly payment remains the same. Winter and Spring quarters remain on a 9/9 pay basis. The four-month pay period for Fall is optional. The appropriate payroll paperwork must be processed before mid-September if the four-month Fall schedule is to be used.

C. Graduate Student Researchers are appointed on a fiscal year (11/12) basis. The appointment start and end dates should coincide with the actual service begin and end dates.

D. Appointees in academic graduate student titles may be placed on Short Work Break in accord with Red Binder VI-18.

V. Benefits

A. Graduate student employees covered by the MOU are eligible for fee remission in accord with the MOU. Graduate Student Researchers are eligible for fee remission in accord with Red Binder IV-10.

B. Graduate students with appointments in covered titles are eligible for leaves of absence from their employment as outlined in Article 17 of the contract. Requests for leave should be made in writing,

addressed to the supervisor as soon as the need for the leave is known. Leaves are granted only with approval of the Departmental Chair. Graduate Student Researchers are eligible for leaves of absence in accord with Red Binder VI-3 and VI-4.

C. Eligible graduate students with appointments in covered titles may receive reimbursement of allowable child-care related expenses in accord with Article 4 of the contract. Eligible graduate students in non-represented titles may receive reimbursement of allowable child-care expenses in accord with the Graduate Student Researcher reimbursement program. A child care reimbursement form and appropriate attachments must be submitted to the department. Forms and additional information are available on the Academic Personnel web site at https://ap.ucsb.edu/resources.for.academic.employees/forms/

ASSOCIATE IN _____

(Revised 12/19)

There is no APM section describing this title. Appointments into this title are governed by the Memorandum of Understanding between the University and the UAW. At UCSB, the application of this policy is outlined in the following:

I. Definition

This title is assigned to registered UC graduate students employed temporarily to give independent instruction of a course.

II. Appointment Criteria

An Associate should be competent to conduct independently and without supervision the entire instruction of a course.

A. Appointees to the Associate title are subject to all eligibility requirements listed in Red Binder IV-1

B. The minimum qualifications for appointment to the Associate title shall be possession of a Master's degree, or advancement to candidacy, and at least one year of teaching experience.

C. Appointees must be within the Departmental and Graduate Council approved number of years for both advancement to candidacy and degree completion as specified in Academic Senate Regulation 350A.

III. Terms and Conditions of Employment

A. Normally an Associate will conduct the entire instruction of a course. An Associate may not be assigned an upper-division undergraduate course without the approval from the Committee on Courses and General Education (CCGE) and may not teach a graduate course without approval from the Graduate Council.

B. Associates may not evaluate fellow graduate student appointees (i.e., Teaching Assistants). For courses in which Teaching Assistants are appointed, a specific faculty member must be named to be responsible for evaluation and mentorship of the Teaching Assistants.

C. This appointment does not imply the responsibility of engaging in research.

D. Appointments as an Associate are subject to the limitations of service described in Red Binder IV-1.

IV. Personnel Actions

A. Appointment packets should be submitted to the Dean of the Graduate Division at least eight weeks in advance of the beginning of the quarter. Packets will be routed for additional review and endorsement as required:

<u>Dean, Graduate Division</u>: Academic Probation, four or more quarters beyond time to degree, employment beyond 15 quarters

<u>Academic Senate (CCGE or Graduate Council):</u> Teaching an upper-division or graduate-level course

<u>College Dean or Academic Personnel</u>: final approval

B. Appointment packets should include the following:

- Associate Appointment Form

- UCSB Biography form with initial appointment in department
- Teaching Evaluations -ESCIs from the following:
  - Appointee's three most recent quarters as TA
  - Appointee's ESCIs from any offerings as TA of the same course as the proposed Associate appointment
  - All courses taught as an Associate
- Graduate transcript
- Current CV
- Course Syllabus
- Request for Exception to Employment Policy Form, if applicable

D. Appointees shall be notified in writing of their appointment. The written notice of appointment shall include all information required by Article 2 of the Memorandum of Understanding as well as appropriate supplemental documentation. Sample letters are available on the Academic Personnel web site at: https://ap.ucsb.edu/resources.for.department.analysts/graduate.student.appointments/

C. Any changes to the appointment must be communicated to the appointee in writing.

V. Compensation

A. Individuals appointed to this title are compensated at an on-scale rate within the published "Associate" Salary Scales (Table 19) at the 1/9th rate.

B. Salaries are subject to range adjustment.

C. A graduate student who is appointed as an Associate for 25% time or more during an eligible academic quarter will qualify for partial fee remission and payment of student health insurance.

VI. Approval Authority

Action	Authority
All Actions	Dean, with appropriate approvals of exceptions as noted in IV.A and Red Binder IV 1, III.c.

TEACHING ASSISTANTS

(Revised 2/22)

The policies on this series are set forth in Academic Personnel Manual (APM) 410 and the Memorandum of Understanding between the University and the UAW. At UCSB, the application of this policy is outlined in the following:

I. Definition

A teaching assistant is a registered UC graduate student in full-time residence, chosen for excellent scholarship and for promise as a teacher, and serving an apprenticeship under the supervision of a regular faculty member.

II. Appointment Criteria

A. The basic criteria for appointment are embodied in the definition of the series. In addition, appointees to the Teaching Assistant title are subject to all eligibility requirements listed in Red Binder IV-1.

B. Appointees must be within the Departmental and Graduate Council approved number of years for both advancement to candidacy and degree completion as specified in Academic Senate Regulation 350A.

C. Master's students must be within the four year time limit set for the master's degree as stated in Academic Senate Regulation 300A .

D. Students must be certified as having language proficiency in spoken English if their native language is not English. Additional details are available on the Graduate Division web site.

E. After a year or more of graduate work, the graduate record will be substituted for the candidate's undergraduate record in appraising scholarly performance.

III. Terms and Conditions of Employment

A. The Teaching Assistant is responsible for conducting a lecture, laboratory, or quiz section under the active tutelage and supervision of a regular member of the faculty to whom final responsibility for the course's entire instruction, including the performance of teaching assistants, has been assigned.

B. A Teaching Assistant is not responsible for the instructional content of a course, for selection of student assignments, for planning of examinations, or for determining the term grade for students. The Teaching Assistant is not to be assigned responsibility for instructing the entire enrollment of a course or for providing the entire instruction of a group of students enrolled in a course.

C. Occasionally an experienced Teaching Assistant may be assigned other or additional duties such as coordinating other TAs, developing pedagogical content (e.g., for labs or discussion sections), ensuring consistent grading across multiple TAs, or responding to individual student requests for DSP or other accommodations. These duties may be attached to a specific course or to a group of related courses. Individuals performing these duties may be given the working title of "lead TA"

D. Appointments as a Teaching Assistant are subject to the limitations of service described in Red Binder IV-1.

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E. A Teaching Assistant with an appointment of 50% or less may not be assigned a workload of more than 220 hours in a quarter, 40 hours in any one week, or 8 hours in any one day. The number of hours in excess of 20 hours per week may not total more than 50 hours per quarter.

IV. Personnel Actions

A. Appointment as a Teaching Assistant is for one academic year or less, and is self-terminating. The employee must be informed of the following: *"This appointment is contingent on the appointee being a registered graduate student in good standing for the duration of the appointment".*

B. Appointees shall be notified in writing of their appointment. The written notice of appointment shall include all information required by Article 2 of the MOU as well as appropriate supplemental documentation. Sample letters are available on the Academic Personnel web site at: https://ap.ucsb.edu/resources.for.department.analysts/graduate.student.appointments/

C. Appointment requests that include the following exceptions must include an endorsement from the student's home academic department.

- On warning status
- Beyond time to degree
- Appointment in quarters 13-18
- Appointment at above 50% time

D. Any changes to the appointment must be communicated to the appointee in writing. -

V. Supervision and review

The selection, supervision and training of all student-teachers is an important responsibility of the teaching department, and in particular of the department chairperson. All candidates for appointment and reappointment should be subject to careful review and recommendation, either by the department as a whole or by a responsible committee.

In order to ascertain the quality of the teaching assistant's work and to make improvements when necessary regular review is necessary. The faculty member with responsibility for the course should periodically visit the lecture and laboratory sections of the course to gain a basis for appropriate review.

Written evaluation of the teaching assistant should be provided by the overseeing faculty member on a quarterly basis. These evaluations should be included in any consideration for reappointment.

VI. Compensation

A. Individuals appointed to this title are compensated at the published Teaching Assistant rate on the Academic Salary Scales at the 1/9th rate.

B. Salaries are subject to range adjustment.

C. "Lead TA" duties are to be compensated at the Teaching Assistant rate. The percentage of appointment in the TA title should be proportionate to the hours of work needed to perform all Teaching Assistant duties.

D. A graduate student who is appointed as a Teaching Assistant for 25% time or more during an eligible academic quarter will qualify for partial fee remission and payment of student health insurance.

VII. Approval authority

Action	Authority
All normal actions and exceptions other than those listed below	Department Chair, with Graduate Division post-audit
Students on Academic Probation Appointment over 75% time Employment beyond 18 quarters	Dean, Graduate Division

Four or more quarters beyond time to degree

READER

(Revised 11/15)

The policies on the use of the Reader title are set forth in APM 420 and the Memorandum of Understanding between the University and the UAW. At UCSB, the application of this policy is outlined in the following:

I. Definition

A Reader will normally perform such duties as grading student papers and exams. A Reader will not be given responsibilities normally assigned to a Teaching Assistant or Associate.

II. Appointment Criteria

Readers will usually be graduate students; however, qualified undergraduates or non-students may be employed to meet special needs or when graduate students are not available. Readers are subject to the provisions of the Memorandum of Understanding regardless of student status. Readers will be paid on an hourly basis according to the published salary scales.

Title code **2850 (Reader- Gship)** is to be used for graduate student appointments.

Title code **2851 (Reader- non-Ghip)** is to be used for undergraduate appointments and for graduate student appointments that do not meet the fee remission threshold.

Title code **2500 (Reader-non-student)** is to be used for non-student appointments.

III. Terms and Conditions of Employment

A. Readers are subject to the provisions of the Memorandum of Understanding regardless of student status.

B. Appointments as a Reader are subject to the limitations of service described in Red Binder IV-1.

C. Readers may not be assigned a workload of more than 40 hours in one week or 8 hours in one day.

IV. Personnel Actions

A. Appointees shall be notified in writing of their appointment. The written notice of appointment shall include all information required by Article 2 of the MOU as well as appropriate supplemental documentation. Sample letters are available on the Academic Personnel web site at: https://ap.ucsb.edu/resources.for.department.analysts/graduate.student.appointments/

B. Appointment requests that include an exception to appoint beyond 50% time must include an endorsement from the student's home academic department.

C. Any changes to the appointment must be communicated to the appointee in writing.

V. Compensation

A. Readers are compensated on an hourly basis according to the published salary scales.

B. A graduate student who is appointed as a Reader for 25% or more during the academic quarter will qualify for partial fee remission and payment of student health insurance.

VI. Approval authority

Action	Authority
All Actions	Department Chair (post-audit of graduate student appointments by Graduate Division)

IV-9
REMEDIAL TUTOR
(Revised 4/19)

There is no APM section describing this title. Appointments into this title are governed by the Memorandum of Understanding between the University and the UAW. At UCSB, the application of this policy is outlined in the following:

I. Definition

This title is assigned to registered UC graduate and qualified undergraduate students employed temporarily to assists students in understanding course concepts, discovering solutions to problems, modeling study strategies, developing methods for independent work, and preparing for upcoming exams.

II. Appointment Criteria

Remedial Tutors will normally be graduate students; however qualified undergraduate students may be so employed in established undergraduate tutoring programs. Additional appointment criteria, such as completion of specific coursework, may be required for Remedial Tutor positions.

Job codes **2288 and 2289 (Remedial Tutors I & II – Gship)** are to be used for graduate student appointment
Job codes **2280 and 2290 (Remedial Tutors I & II – non-Gship)** are used for graduate student appointment – no fee remission and undergraduate student appointment

III. Terms and Conditions of Employment

A. The Remedial Tutor is responsible for mentoring of undergraduate students, either for a specific course through an established departmental program or for more general mentoring within a discipline through CLAS. Responsibilities may include assistance with course-specific study skills and/or lab activities, problem solving, or with other work associated with the course. The Remedial Tutor may assist with grading, but may not assign final grades to student work, be the sole facilitator of discussion sections for enrolled students, or otherwise be solely responsible for activities assigned to other instructional staff such as faculty, Associates, or Teaching Assistants for the course.

B. All Remedial Tutors are subject to the provisions of the Memorandum of Understanding.

C. Appointment as a Remedial Tutor is subject to the limitation of service described in Red Binder Section IV-1.

D. While the workload may fluctuate throughout an academic term, at no time may a Remedial Tutors be assigned a workload of more than 40 hours in any one week or assigned to work more than eight (8) hours in any one day.

E. The working title of Learning Assistant may be used for appointees in the Remedial Tutor series.

IV. Personnel Actions

A. Appointees shall be notified in writing of their appointment. The written notice of appointment shall include all information required by Article 2 of the MOU as well as appropriate supplemental documentation. Sample letters are available on the Academic Personnel web site at: https://ap.ucsb.edu/resources.for.department.analysts/graduate.student.appointments/

B. Appointment requests for graduate students that include an exception to appoint beyond 50% time must include an endorsement from the student's home academic department. Undergraduate student appointments will normally not exceed 25% time. Undergraduate employment may not exceed 50% time during the academic year, inclusive of all UCSB employment.

C. Any changes to the appointment shall be communicated to the appointee in writing.

V. Compensation

A. Individuals appointed to this title are compensated on an hourly basis according to the published salary scales.

B. Remedial Tutors shall be guaranteed pay for the entirety of any pre-scheduled tutoring timeslot**.**

C. A graduate student who is appointed as a Remedial Tutor for 25% time or more during an academic quarter will qualify for partial fee remission and payment of graduate health insurance.

VI. Approval Authority

Action	Authority
All Actions	Department Chair

GRADUATE STUDENT RESEARCHER

(Revised 12/19)

I. Definition

A Graduate Student Researcher is a registered UC graduate student who performs research related to the student's degree program in an academic department or research unit under the direction of a faculty member or Principal Investigator. Graduate Student Researchers are selected for high achievement and promise as creative scholars; they may collaborate in the publication of research results as determined by supervising faculty members. Graduate Student Researchers may not be assigned teaching, administrative or general assistance duties.

II. Appointment Criteria

Appointment to the Graduate Student Researcher title requires the following:

1. The appointee is a registered UC graduate student.
2. The work performed may contribute to the educational objectives of the student; and/or
3. The student functions as an active collaborator and/or fundamental contributor to the intellectual content of the research.

The criteria for appointment to each of the steps listed below are provided as guidelines for departments. Departments may make appointments at higher or lower steps as long as all GSRs in the department are treated consistently. In the absence of departmental step criteria, the following serve as guidelines for appointments to the various steps:

Step I	Pre-Masters degree, with no previous GSR experience.
Step II	One year's graduate work completed
Step III	Post-Masters degree, or completion of at least two academic years of full-time graduate degree work at UCSB
Step IV	Post-Masters degree plus completion of at least one year of experience as a GSR
Step V	Advancement to doctoral candidacy
Step VI-X	Advancement to doctoral candidacy plus at least two years of experience as a GSR

The appointee to this title must hold a BA/BS degree, must be a full-time registered graduate student, and must have a grade point average of 3.0 or above.

Appointments are made using job code **3284 (Graduate Student Researcher- Full Tuition and Full Fee Remission).** The level of tuition and fee remission will be determined based on the total percentage and/or hours worked in titles eligible for remission during the applicable academic term.

III. Term of Appointment

Employment is limited to a maximum of 50% time, either in graduate student researcher positions alone, or in combination with any other appointment at the University. (100% employment is permissible during off-quarter periods and during summer break.)

Department chairs may approve exceptions up to 75% time. Employment beyond 75% must be approved by the Dean of the Graduate Division.

An appointment to this title may be for a period of one year or less and is self-terminating. The employee must be informed of the following:

"*This appointment is contingent on the appointee being a registered graduate student in good standing for the duration of the appointment*".

IV. Process for Appointment

Departments are encouraged to provide the GSR with a letter from the Department Chair that includes, but is not limited to: employment title, begin and end dates, rate of pay, percentage time of appointment, and self-termination language. A copy of the letter should be placed in the employee's personnel file.

V. Approval Authority

Action	Authority
All normal actions	Department Chair with appropriate approvals of exceptions as noted in Red Binder IV 1, III.c.

SECTION V: OTHER ACADEMIC TITLES

ACADEMIC COORDINATOR

(Revised 11/16)

I. Definition

This title is appropriate for appointees who administer academic programs that provide service to academic departments or research units, to students, or to the general public. The service must be closely related to the teaching or research mission of the University.

The duties of an Academic Coordinator are primarily administrative. Teaching or research related responsibilities will require appointment in an appropriate academic title. Occasional non-credit seminars or workshops may be conducted under the Academic Coordinator title. See APM 375 for System Wide policy on Academic Coordinators.

II. Rank and Step

This series contains ranks I - III. Ranks I and II include 15 steps, Rank III includes 9 steps.

III. Appointment Criteria

Appointment cases are to be submitted via AP Folio and using the "Documents to be submitted by the Chair" (Red Binder V-2.) Reappointments are to be submitted via the reappointment and modification module of AP Folio. The timing of the reappointment will be based on the original start date of the appointment and/or the availability of funding.

A. An appointee must have a professional background of academic training and/or experience for appointment to this series. A Master's or equivalent or other appropriate degree(s) is usually required. Certain positions may require a doctorate or equivalent experience.

B. The appropriate rank will be determined by taking into consideration such factors as program scope and complexity. APM 375, Appendix A provides guidelines for determining appropriate rank. In general, the ranks are differentiated as follows:

1. <u>Academic Coordinator I:</u>
Appointees will have responsibility for programs of minimal to moderate complexity. The program will normally have a small staff, and may consist primarily of local University-related activities with limited breadth or narrow focus. The appointee will likely receive general supervision from the department chair, a faculty member or other academic or professional staff.

2. <u>Academic Coordinator II:</u>
Appointees will have responsibility for programs of moderate complexity. The program will normally have a moderately-sized staff or a scope that encompasses several units or activities. The appointee is expected to manage the program with a great amount of independence.

3. <u>Academic Coordinator III:</u>
Appointees will have primary responsibility for the administration, management, and coordination of large programs with broad and substantial complexity. Responsibilities will be fulfilled independently (for example, unit heads who report directly to a dean or vice chancellor). Appointments to this level will require demonstrated superior professional ability, outstanding accomplishment in job-related activities, and the assumption of greater responsibility than typically delegated to Academic Coordinators at other levels.

IV. Term of appointment

A. Appointments will normally be made for one year at a time, but may, with justification, be made for up to a maximum of three years at a time.

B. No further notice of non-reappointment is necessary for appointments at less than 50% 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). 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; 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.

V. Compensation

A. Individuals appointed to this series may be compensated on an academic-year or fiscal-year basis, dependent on the nature of the position.

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.

VI. Advancement

Advancement cases are to be submitted via AP Folio and using the checklist of documents to be submitted by the chair for Academic Coordinator reviews (Red Binder V-2).

A. Merit increases will normally occur once every 2 years at Rank I and II and once every 3 years at Rank III. A personnel review must be conducted at least once every two years at Rank I and II and at least once every three years at Rank III. If advancement is not justified, a recommendation of "no change" may be made. Accelerated advancement may be recommended in cases of demonstrated exceptional merit. An Academic Coordinator who has reached the top step within rank will continue to be subject to review every 2 or 3 years depending on rank. Advancement at the top step within rank will normally be an increase of 5%, applied as an increase in the off-scale supplement.

B. All merits and promotions will be effective July 1. Completed cases must be submitted to the appropriate control point by May 1, preceding the effective date.

C. Advancement from one step to the next is based on merit. Promotion to a higher rank will require significant change in the scope and complexity of the program administered.

D. A request for merit advancement will require evaluation of the candidate's performance and activity in the areas of: a) Coordination of the Academic Program, b) Professional Competence, and c) University and Public service. A request for promotion must also address the change in scope and complexity of the program administered. An updated job description must be included with each request for merit, promotion or reappointment.

VII. Approval Authority

Action	Authority
New appointments	Associate Vice Chancellor for Academic Personnel
Reappointments and merits	Dean or Associate Vice Chancellor for Academic Personnel, as appropriate
Promotions	Associate Vice Chancellor for Academic Personnel

DOCUMENTS TO BE SUBMITTED BY THE CHAIR
ACADEMIC COORDINATORS
(Revised 9/21)

All appointments and advancements are to be submitted via AP Folio—

APPOINTMENTS

I. **Departmental letter of recommendation**
Accurate and analytical letters of recommendation from the department are essential in the review process. See Red Binder I-35 for further detail of content of departmental recommendations:

- ☐ Are the dates of the appointment, rank and step all clearly stated?
- ☐ Is the recommended salary on the published salary scale?

II. **Complete CV and UCSB Academic biography form**

- ☐ Is the CV up to date?
- ☐ Is the UCSB Academic biography form complete, signed and dated?
- ☐ Have all links to supporting documents been verified?

III. **Job Description**

- ☐ Does the job description addressed program scope and complexity, degree of independence, budgetary responsibility, level of professional accomplishment required and scope of impact on the campus mission (See APM 375, Appendix A)?

IV. **Supportive documentation**

- ☐ Has a representative sampling of supporting documentation been submitted?

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.

MERITS AND PROMOTIONS

I. **Departmental letter of recommendation**
Accurate and analytical letters of recommendation from the department are essential in the review process. See Red Binder I-35 for further detail of content of departmental recommendations:

- ☐ Is the letter an accurate, extensive, and **analytical** representation of the case?
- ☐ If there is a recommendation for an acceleration, are the reasons for the acceleration specifically stated?
- ☐ In the case of a negative departmental recommendation, is the basis of the recommendation clearly documented?

- ☐ Is all relevant information from the Departmental letter accurately entered on the case up-load screen?

II. **Updated CV <u>or</u> Bio-bib**

- ☐ Is the CV up to date?
- ☐ Is the Bio-Bib in the proper format?
- ☐ Is the Research section a **cumulative** list of publications (or creative activities) with a line drawn separating all new items from where the bio-bib from the last review case had ended?
- ☐ Are the numbers the same as in the previously submitted bio-bib, and have items previously listed as "In Press", "Submitted" been accounted for?
- ☐ Are all items, including "In Press", "Submitted", and "In Progress" properly numbered?
- ☐ Have all links to supporting documents been verified?

III. **Job Description**

- ☐ Is an updated job description included if there have been changes since the last review?
- ☐ If there have not been changes in the job description, does the departmental letter state that fact?

IV. **Safeguard Statement (RB III-5).**

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 statement? The case may not be forwarded until the candidate has signed.
- ☐ If there are confidential documents (e.g. letters of evaluation), the appropriate box under #5 and #6 should be checked.
- ☐ Are copies of everything the candidate has provided, or been provided, included with the case (e.g. redacted letters, list of potential evaluators)?

V. **Supportive documentation**

- ☐ Has a representative sampling of supportive documentation been submitted?

V-6

CURATOR

(Revised 5/16)

There is no APM section describing this title. The title code for this series is 3650. At UCSB, the application of this policy is outlined in the following:

I. Definition and appointment criteria

An individual may be appointed to the without salary Curator title in a recognized Center or Museum when they:

A. Have expertise in a particular discipline or collection
B. Are a recognized authority in the particular discipline or collection
C. Are actively involved in the management, curation, and conservation of the collection.

In addition, an individual appointment into the title of Curator is expected to:

A. Advise the collections staff on curation
B. Educate the public through such activities as workshops, seminars, leading tours for university classes, K-12 outreach programs
C. Assist in grant writing and fund-raising as appropriate.

II. Conditions of use of title

Appointments as Curator are on a without salary basis. An individual appointed as Curator will continue to hold their underlying academic or staff title on a paid basis. The hiring unit will define the specific curatorial responsibilities for each appointee.

Appointments will normally be made on a year by year basis. Appointments to this title are temporary and at will. The individual serves at the discretion of the designee of the Chancellor who holds approval authority. Termination of a without salary Curator appointment does not affect the underlying academic or staff title.

III. Approval authority

Action	Authority
All appointments	Dean or Associate Vice Chancellor for Academic Personnel

ASSISTANT AND ASSOCIATE UNIVERSITY LIBRARIANS

(Revised 4/15)

I. Definition

The titles in this series are used for academic appointees who provide top-level professional and administrative services to the University libraries as officers assisting the University Librarian.

II. Ranks and Steps

There are no steps within ranks of Assistant and Associate University Librarian.

The titles of Acting Associate Librarian and Acting Assistant Librarian may be used only for individuals on temporary assignments.

III. Appointment Criteria and Process

The candidate will normally hold a professional degree from a library school and have considerable subsequent experience as a professional librarian. Demonstrated superior professional ability and attainment are indispensable qualifications for appointment to either rank in the series. Appointees may be assigned authority for management of a section of the library or of a major functional area of library administration

Appointees as Assistant University Librarian will have major responsibility for assisting with planning and managing library operations.

Appointees as Associate University Librarian will have high level responsibility in the planning and management of the operation of the library or libraries of the campus. An Associate University Librarian is expected to be capable of functioning as deputy for the University Librarian when necessary.

Appointment cases are to be prepared by the University Librarian according to the checklist in V-11. The case is forwarded to the Associate Vice Chancellor for Academic Personnel.

IV. Advancement Criteria and Process

Reviews will be based on the criteria outlined in APM 365 including:

A. Qualifications and accomplishments consistent with the planning and management of operations of the University Library or Libraries.
B. Professional competence and quality of service within the Library
C. University and public service; and professional activities outside the Library
D. Research and other creative activity

The candidate will submit a memo to the University Librarian describing contributions and accomplishments during the review period, and may include any other relevant documents such as publications, evidence of presentations or other such materials. The candidate and the University Librarian will discuss the option of soliciting letters of recommendation for the case. If the result of this discussion is a decision to solicit letters, the candidate will submit a list of potential reviewers to the University Librarian who will then make the final determination of individuals to be asked for letters. The University Librarian may also solicit letters from individuals not on the candidates list but must notify the candidate if this option is exercised. The candidate may also provide names of persons who, in the view of the candidate, and for reasons set forth, might not provide objective evaluations.

Merit increases are not automatic but rather must be justified by the quality of professional and administrative service rendered by the appointee.

Advancement cases are to be prepared using the checklists of documents to be for AUL merits and promotions (Red Binder V-11). All advancement actions are based on the individual's achievements. Merit increases are based on the record since the time of last review while promotions are based on the career record.

The normal period of service between reviews is two years for an Assistant University Librarian and three years for an Associate University Librarian.

Merit increases will normally be 7% for an on time merit. Requests for increases of more than 7% must include evidence of excellence and performance beyond the expected standards for the position.

Promotion from Assistant University Librarian to Associate University Librarian must be justified not only be excellence of service and attainments, but also by demonstrated professional growth and accomplishment and/or the assumption of greater responsibility.

All merits and promotions will be effective July 1. Completed cases must be submitted to the Academic Personnel Office by May 31. Cases received after the due date will be returned to the Library and will not be processed. A missed deadline may not be used as justification for retroactivity in a future review.

Deferral will be automatic if an AUL does not submit material by the departmental due date and no case is forwarded by the library, with the exception of mandatory reviews.

Appointees must undergo a performance review at least once every five years, including an evaluation of the complete record since last review. This review may not be deferred. If the candidate does not turn in materials by the library due date, the University Librarian will conduct the review based on the materials available as of the due date.

In cases where the final decision is a lesser advancement than recommended by the department, a reconsideration may be requested. Procedures outlined in Red Binder I-10 must be followed.

V. Compensation and term of appointment

A. Appointment as Assistant or Associate University Librarian is for an indefinite term.

B. The effective date of merits and promotions will be July 1.

C. Salaries must be within the established ranges on the annually published salary scales from Office of the President. Exceptions above the maximum will require further review and approval by the Executive Vice Chancellor.

D. Salaries are subject to range adjustment.

E. Appointees accrue vacation and sick leave in accord with APM 710 and 730

F. If an appointee is to be terminated, the conditions outlined in APM 365-20 must be followed. Termination due to lack of work or lack of funds requires at least one month's notice. Termination due to conduct or performance of duty such that immediate dismissal is justified requires no notice. Termination for any other reason requires four months notice if the appointee has less than one year of service, and six months notice if the appointee has one year or more of service. Assistant and Associate University Librarians are covered by Red Binder III-35 and APM 140 Grievance Policies for Non-Senate Academics.

VII. Approval Authority

Action	Authority
All Actions	Associate Vice Chancellor, Academic Personnel

DOCUMENTS TO BE SUBMITTED BY THE UNIVERSITY LIBRARIAN
ASSISTANT & ASSOCIATE UNIVERSITY LIBRARIANS
(Revised 11/15)

APPOINTMENTS

I. **Letter of recommendation**

Accurate and analytical letters of recommendation are essential in the review process.

- ☐ Are the start date of the appointment and the salary clearly stated?
- ☐ Is an analytical analysis of the person's qualifications included?
- ☐ Is the JPF# from UCRecruit included?

II. **Complete CV and UCSB Academic biography form**

- ☐ Is the CV up to date?
- ☐ Is the UCSB Academic biography form complete, signed and dated?

III. **Copies of other supportive documentation**

- ☐ Has a representative sampling of supporting documentation been submitted if appropriate?

Note: 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.

MERITS AND PROMOTIONS

I. **University Librarian letter of recommendation**

Accurate and analytical letters of recommendation are essential in the review process.

- ☐ Is the letter signed and dated?
- ☐ Is the letter an accurate, extensive, and **analytical** representation of the case?
- ☐ Are both the type of recommendation (merit, promotion, no change, other) and the justification for the recommendation clearly stated?
- ☐ In the case of a negative recommendation, is the basis of the recommendation clearly documented?

II. **Updated UCSB Academic Biography form**

- ☐ Is the UCSB Academic biography form complete, signed and dated?

III. **Safeguard Statement (RB III-5)**

A signed safeguard must be forwarded with each departmental recommendation. If it is difficult or impossible to obtain this document, the University Librarian should explain the situation and indicate in what manner he/she has attempted to meet the requirements outlined in the form.

- ☐ Is it signed and dated?
- ☐ If there are confidential documents (e.g. letters of evaluation), the appropriate box under #5 and #6 should be checked.

IV. **Candidate's self evaluation**

- ☐ Does the evaluation cover the accomplishments and contributions for the full review period?

V. **Letters of evaluation**

If letters were solicited

- ☐ Are copies of all letters received included?
- ☐ Is a list of letter writers, including a brief biography, and indicating who selected the writers included?
- ☐ Was the candidate provided with redacted copies of the letters?

VI. **Copies of supportive documentation**

- ☐ Has a representative sampling of supportive documentation been submitted if appropriate?

V-15

LIBRARIANS

(10/10)

The system-wide policy for Librarians is set forth in Academic Personnel Manual (APM) 360. Librarians who are not supervisory, management, or confidential are represented by the American Federation of Teachers (AFT) and as such are also covered by the Memorandum of Understanding between the University and the AFT. At UCSB, the application of these policies is available under the listing of "Procedures for Appointment and Review, Librarian Series" and "Procedures for Review and Advancement in the Librarian Series for Represented Librarians" at the following Library web site: http://lauc.library.ucsb.edu/academic-review/

Emeritus Status for Librarians

A. Eligibility

Members of the Librarian Series are eligible to be nominated for emeritus status upon retirement. In compliance with APM-120, as non-Senate academic appointees, nominees shall be evaluated according to the following criteria:

- The nominee shall have at least ten years of University service.
- The nominee shall have attained the highest rank in the individual's title series. (For librarians, this means attainment of the rank of Librarian.)
- The nominee shall show evidence of noteworthy and meritorious contributions to the educational mission and programs of the University.

B. Privileges

1. Library privileges are the same as those of other emeriti, i.e., those of an active academic employee: extended borrowing privileges; interlibrary loan privileges; and a library card that allows proxy server access to online resources restricted to UCSB users.

2. Library network access: a free e-mail account shall be retained on the library's server.

3. Campus network access (through a campus Directory account): a free UCSBnetID account shall be retained.

C. Procedures

1. A request for nomination shall be initiated either by the candidate or by any member of the Librarians Association of the University of California (LAUC) upon or within two years following retirement. If the request for nomination is made upon retirement, it shall be accompanied by a signed statement from the candidate stating the intention to retire on a given date, or the date of retirement.

2. The candidate shall prepare the file consisting of an updated Biography form and updated Biography Supplement, and an outline of the noteworthy and meritorious contributions achieved during the candidate's career.

3. The file shall be submitted to the University Librarian. The University Librarian shall make a decision on nominating the candidate, and if favorable will submit the nomination to the Associate

Vice Chancellor for Academic Personnel for approval. The nomination shall include the candidate's file and the University Librarian's recommendation.

Compiled by LAUC-SB Executive Board, December 14, 2009
Approved by University Librarian, Brenda Johnson, January 21, 2010

ADJUNCT PROFESSOR SERIES

(Revised 2/21)

I. Definition

The titles in this series may be assigned to those who are predominantly engaged in research and who participate in teaching, or to individuals who contribute primarily to teaching and have a limited responsibility for research or other creative work. Appointees also engage in University and public service consistent with their assignments. See APM 280 for System Wide policy on Adjunct Professors.

Appointments may be made on a paid basis or a without salary basis.

II. Appointment Criteria

A candidate for appointment or advancement in this series is judged by the same four criteria specified for the Professor series, <u>except</u> that evaluation of the candidate shall take into account the nature of the duties and responsibilities, and shall adjust accordingly the emphasis to be placed on each of the criteria. The four criteria are:

1. Teaching
2. Research
3. Professional competence and activity
4. University and public service

See APM 210-1 for an explanation of these criteria.

III. Term of Appointment

Appointment or reappointment at the Assistant level may be for a maximum term of two years. Appointments at 50% or greater are limited to a total of eight years of service at the Assistant Professor level. Appointments at less than 50% are not subject to the eight-year limit.

Appointments or reappointments may be for up to two years at the Associate Adjunct Professor level and for up to three years at the Adjunct Professor level. For paid appointments a guarantee of funding is required for the duration of the appointment. Reappointments for funding purposes only, involving no academic review, may be requested by memo from the Chair or Director. No departmental vote is required.

<u>The following policies apply to all without salary Adjunct appointments</u>

IV. Restrictions and review process

For non-salaried appointments the title will normally be accorded to a distinguished person whose main affiliation is with another institution or in private industry, but who has an ongoing identifiable research and teaching involvement with UCSB.

Appointment may be made at the Assistant Adjunct Professor, Associate Adjunct Professor, or Adjunct Professor level. Candidates who hold, or have held an academic appointment at another institution should be appointed at the equivalent level. Candidates who have a main affiliation in industry and have not held an academic appointment in the past should be appointed at a level appropriate to their standing in the field.

To request a without salary appointment the following documents must be submitted to the Dean's office:

- Up-to-date CV
- UCSB biography form
- Departmental recommendation letter that includes a summary of the candidate's qualifications, justification for the level being proposed and the specific research and/or teaching that will take

place.

To request a without salary reappointment the following documents must be submitted to the Dean's office:

- Up- to- date CV
- Departmental recommendation letter that includes the specific research and/or teaching that will take place as well as an evaluation of the performance during the current appointment period.

The following policies apply to all salaried Adjunct appointments

V. Ranks and Steps

Assistant Adjunct Professor II- V
Associate Adjunct Professor I- IV
Adjunct Professor I- IX

The normal time of service at each step within the Assistant and Associate rank is 2 years, except for service at the special steps of Assistant Adjunct Professor V and Associate Adjunct Professor IV (Red Binder I-4, II). Within the Adjunct Professor rank normal service at Steps I-IV is 3 years. Service at Step V and above may be for an indefinite time: however, normal service is 3 years at Steps V through VIII and 4 years at Step IX. Eligibility for normal advancement occurs after the normal time of service at each step. If not advanced in step at that time, the candidate will continue to be eligible each year until advancement in step occurs.

VI. Compensation

A. Initial appointments and reappointments in this series are conditional on programmatic need and the availability of funds, and each individual shall be notified to this effect at the time of appointment or reappointment.

B. Individuals appointed to this series are compensated from the salary scales established for the Professorial ranks.

C. At least 50% of any appointment must be funded from other than 19900 sources.

D. Appointees to this series who hold academic year (9/12 basis) appointments are eligible to receive additional compensation for summer research efforts at the 1/9th rate.

E. Off-scale salaries are allowed within the same limits and policies as ladder faculty off-scale salaries. (Red Binder I-8)

VII. Restrictions

A. Individuals who are primarily researchers and who teach regularly at least one course a year should be appointed in the Adjunct series for their whole appointment. Professional Researchers who teach less than one course a year should be given a Lecturer appointment in conjunction with the Researcher appointment. For purposes of appointment "one course" is defined as a regularly scheduled class that meets at least three hours per week (e.g. a 599 class does not fulfill the requirement).

For appointments in which teaching is the main activity, it must be clearly demonstrated that a teaching title such as lecturer is not appropriate, before appointment to this series can be approved.

B. An appointee to a title in this series shall have the title revoked whenever the appointee's participation in teaching ceases to conform to the criteria set forth in A above.

C. No appointee shall be paid from 19900 funds for more than 50% of any appointment. To the extent that State funds are used to support any part of the salary, the corresponding fractional part of an FTE shall also be used for the appointment.

D. Appointees are not members of the Academic Senate, do not acquire security of employment or tenure, and are not eligible for sabbatical leave.

E. Paid Adjunct appointments are subject to open search requirements as defined in Red Binder VII-1.

VIII. Appointment and Advancement

A. Paid appointments at 50% time or more that exceed one year will be considered the equivalent of ladder rank faculty appointments. Procedures and policies concerning appointment and advancement within the ladder ranks will apply to these positions (Red Binder I). The checklists for appointment (Red Binder I-15) and for advancement (Red Binder I-31 and I-34) should be used when preparing cases. For individuals appointed at less than 50% the same checklists is to be used to prepare the case.

B. All advancement actions are based on the individual's achievements. Normal advancement will occur after 2 years at step at the Assistant or Associate level and after 3 years at the Adjunct Professor level. Merit increases are based on the academic record since the time of last review while promotions, advancement to Adjunct Professor VI, and advancement to Adjunct Professor Above Scale are based on the career academic record. Any advancement requested prior to the normative time at step will be considered an acceleration and must be justified as such.

C. All merits and promotions will be effective July 1. Completed cases must be submitted to the college by the deadlines established for ladder faculty cases. 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.

Deferral will be automatic if an Adjunct Professor does not submit material by the departmental due date and no case is forwarded by the department, with the exception of formal appraisals and mandatory reviews.

D. A formal appraisal of an Assistant Adjunct Professor will take place during the fourth year of service. The procedures outlined in Red Binder I-38 will be used.

Appointees in the Adjunct 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.

E. External letters of evaluation will be required in cases of: appointment as Associate Adjunct Professor, appointment as Adjunct Professor, promotion to Associate Adjunct Professor, promotion to Adjunct Professor, and merit to Adjunct Professor Above Scale. The policies related to solicitation of external evaluation for ladder faculty must be followed (Red Binder I-46 to I-50).

IX. Approval Authority

Action	Authority
50% or more for more than one year:	Same as ladder rank faculty (Red Binder I-14)
Exceptions to State funding limits	Chancellor
Less than 50% or one year or less:	
Assistant level: Appointments Reappointments, Merits	Dean

Associate, Full reappointments and merits	Dean
Associate, Full Appointments Promotions	Associate Vice Chancellor
Exceptions to State funding limits	Associate Vice Chancellor

V-20

PROFESSOR OF PRACTICE

(Revised 2/21)

I. Definition

Appointees in the Professor of Practice series are distinguished professionals, either practicing or retired. A few may have traditional academic backgrounds, but most do not.

The working title of Professor of Practice helps promote the integration of academic scholarship with practical experience. Appointees provide faculty, undergraduate students, and graduate students with an understanding of the practical applications of a particular field of study. Professors of Practice teach courses, advise students, and collaborate in areas directly related to their expertise and experience.

Appointment may be made as Professor of Practice or Visiting Professor of Practice. The underlying title of Adjunct Professor will be used for payroll purposes.

II. Appointment and advancement criteria

Evaluation of the candidate for appointment or advancement as Professor of Practice or Visiting Professor of Practice shall take into account the nature of the duties and responsibilities and shall adjust accordingly as to the emphasis placed on each of the following four criteria:

1. Professional competence and activity

   For appointments, departments must identify the candidate's leadership in, and major contributions to, the field in question as well as document what credentials from practice he or she will bring to bear in teaching, research, and service. At the time of review, the department must demonstrate the appointee's continued record of exemplary professional practice and leadership in the field.

2. Teaching contributions

   Professors of practice will design and teach undergraduate and graduate courses based on their expertise. Appointees are expected to teach primarily in professional programs at the graduate level. Instruction at the undergraduate level is permissible when an appointee's expertise warrants such an assignment, but is not required or normally expected.

3. Research contributions

   Candidates in this series will have extensive practical experience that contributes to the research and teaching mission of the University. Appointees must have a well-established, evidence-based reputation for superior accomplishments in their fields. This may be evidenced by published works or presentations disseminated outside the scope of traditional scholarly journals and conferences, but otherwise subject to the same standards of quality and impact that govern other research contributions within the University.

4. Service contributions

Appointees, to the degree practicable, must bring their career experience to bear in university service. Such service activities should be related to the candidate's professional expertise and achievements.

III. Terms of service

A Professor of Practice or Visiting Professor of Practice may serve full time or part time, and with or without salary.

Salaried Professors of Practice or Visiting Professors of Practice may be appointed up to 100% time, but are normally appointed at 50% time or less. If appointed at 100% time, the appointee's full professional commitment must be to the University.

Appointments will be made at the Professor rank, steps I through IX. Appointments may also be Above Scale. The normal period of service at steps I-IX is 3 years. Service at step IX or above scale is normally 4 years. Eligibility for normal advancement occurs after the normal time of service at each step.

An appointment or reappointment as Professor of Practice may be for a period not to exceed three years, normally ending on the third June 30 following the date of appointment or reappointment. Appointment or reappointment may be for a shorter duration.

Visiting Professors of Practice may serve a maximum of two consecutive years and may not be reappointed.

Appointment or reappointment in the Professor of Practice series must have a specified ending date.

IV. Compensation

The salary paid to a Professor of Practice will be at a negotiated annual rate. The departmental recommendation letter must justify the salary level recommended.

The minimum pay level for the Professor of Practice series is no less than that of Professor, Step I. Step and salary will be based on the Professorial pay scale. Off-scale salaries are permissible to the same extent as for ladder-rank faculty.

At least one-half (50%) of any appointment in the Professor of Practice series must be supported by non-state funds.

V. Restrictions and Conditions of Employment

A. This series does not accord tenure or security of employment.
B. This series does not convey membership in the Academic Senate.
C. Appointees in this series are subject to APM 137, Non-Senate Academic Appointees/Term Appointment.
D. Appointees in this series are not eligible for sabbatical leave, but are eligible for other types of leave with pay in accordance with APM and campus policies
E. Salaried Professors of Practice are subject to the restrictions set forth in APM 025, Conflict of Commitment and Outside Activities of Faculty Members.

VI. Appointment and advancement processes

A. Paid appointments as Professor of Practice at 50% or more that exceed one year will be considered the equivalent of ladder-rank faculty appointments for purposes of appointment and advancement. Procedures and policies concerning appointment and advancement within the ladder ranks will apply to these positions (Red Binder I). The checklists for appointment (Red Binder I-15) and for advancement (Red Binder I-31 and I-34) should be used when preparing cases. For individuals appointed at less than 50% time the same checklists are to be used to prepare the case.

B. All advancement actions are based on the individual's achievements. Merit increases are based on the academic record since the time of last review. Any advancement requested prior to the normative time at step will be considered an acceleration and must be justified as such.

C. All merits and promotions will be effective July 1. Completed cases must be submitted to the college by the deadlines established for ladder-faculty cases. 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.

D. Deferral will be automatic if a Professor of Practice does not submit material by the departmental due date and no case is forwarded by the department, with the exception of formal appraisals and mandatory reviews.

E. Appointees in the Professor of Practice 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.

F. External letters of evaluation will be required in cases of: appointment as Professor of Practice, and merit to Professor of Practice Above Scale. The policies related to solicitation of external evaluation for ladder faculty must be followed (Red Binder I-46 to I-50).

   1. The following wording should be inserted into the standard letter as appropriate:
      a. _____ is being considered for [appointment as a Professor of Practice/ merit to Professor of Practice Above Scale] in the Department of _____ Appointees in the Professor of Practice series are distinguished professionals, either practicing or retired, who help promote the integration of academic scholarship with practical experience. For such appointees the candidate's record of professional competence and activity is carefully assessed as is their record of, or potential for teaching, and contributing to the research and service missions of the University.

G. Professional activity, teaching, and creative contributions may differ from standard ladder-rank professorial activities, and can also be judged on the basis of professional competence, intellectual contribution, originality, and the total value of the appointee's engagement with the department. Evaluation of the candidate with respect to these criteria should take into account the nature of the University assignment of duties and responsibilities.

H. Appointments as Visiting Professor of Practice will follow the same process as appointment as a Visiting Professor (Red Binder II-28, V). Visiting Professors of Practice are not eligible for merit increases.

VII. Approval Authority

Action	Authority
All actions	Associate Vice Chancellor for Academic Personnel

V-25

FACULTY ADMINISTRATORS

(Revised 4/15)

Faculty Administrative titles require that the appointee hold an underlying academic title. Most often the title will be an Academic Senate title, but individuals from other series may also be appointed. Use of all titles requires prior approval as indicated in the following sections.

Appointment to a Faculty Administrative position is subject to approval by the Chancellor, or the Executive Vice Chancellor, and is governed by the applicable Academic Personnel Manual Policy and Red Binder policy. The Executive Vice Chancellor will consult with the Associate Vice Chancellor for Academic Personnel prior to approval of any new faculty administrator positions.

Individuals appointed to a full time administrative position are not subject to the mandatory five year review on the Professorial title, but will be reviewed in the administrative position once each five years as required by Senior Management Group and Academic Personnel Manual policy. Individuals compensated via an administrative stipend will continue to be subject to review on their Professorial title. Red Binder I-67 provides guidance concerning evaluation of administrative service in the personnel process.

The titles of Chancellor, Executive Vice Chancellor, Vice Chancellor, and University Librarian are covered by Senior Management Group policies.

Appointees to Faculty Administrative titles maintain their underlying academic title and all rights associated with the underlying academic title.

Approval Authority

Type of appointment	Authority
Department Chair, Vice Chair	Executive Vice Chancellor
ORU Director, Assoc. Director	Executive Vice Chancellor
Dean	Chancellor
Associate Dean	Executive Vice Chancellor
All other titles	Executive Vice Chancellor

V-28

DEANS AND FULL TIME FACULTY ADMINISTRATORS

(Revised 4/23)

The system-wide policy for Deans is set forth in Academic Personnel Manual (APM) 240. The system-wide policy for Full-time Faculty Administrators is set forth in Academic Personnel Manual (APM) 246. At UCSB, the application of these policies is outlined in the following:

I. Definition

An academic Dean, Acting Dean, or Interim Dean is head of a Division, College, School, or other similar academic unit and has administrative responsibility for that unit. As academic heads of their units, Deans are persons of scholarly and professional accomplishment. The University encourages their continued engagement as academicians in scholarly, professional, teaching, and University service activities, consistent with, but distinct from, their decanal responsibilities. Therefore, it is appropriate for time to be allotted to them to engage in these activities. The Dean of Professional and Continuing Education is not covered by this policy.

Faculty Administrators who are appointed at 100% are primarily responsible for administrative duties but maintain their underlying Academic Senate faculty appointment. Faculty may be appointed to 100% administrative positions into the following titles:

Associate Vice Chancellor
Associate Dean

Appointees in these titles assume a portion, or specific function of the duties assigned to the respective Vice Chancellor or Dean and may act in their behalf as requested.

II. Terms of service

Deans and 100% Faculty Administrator appointments will be full time positions and will be for a period of up to five years, subject to reappointment. Appointments are made on a fiscal year basis. Appointment as Acting or Interim will normally be for a one-year period, subject to reappointment, and may be on either an academic or fiscal year basis, as determined by campus need.

The Executive Vice Chancellor will conduct an annual assessment of each Dean and 100% Faculty Administrator and will communicate the key components of the assessment to each appointee. In addition, the Executive Vice Chancellor shall conduct a five-year review of each Dean and 100% Faculty Administrator, in accord with APM 240-80 b. (1), APM 246-80 b, and campus procedures. Reviews of 100% time Associate Deans will be conducted by the appropriate Dean. The Dean will communicate the key components of the review to the Associate Dean and will communicate the results of the review to the Executive Vice Chancellor. The administrative review process is separate and distinct from the academic merit process.

Appointees to the titles covered by this policy are at will and individuals serve at the discretion of the Chancellor. Termination of an administrative appointment does not affect the underlying faculty appointment.

III. Salary administration

A. Establishment of salary:
Deans will be paid within the salary bands established by the Office of the President. Initial salaries will be based on prior relevant administrative experience, market factors, comparable

positions on campus or within the UC system, and the individual's professorial salary. At all times the administrative salary must remain greater than the professorial salary.

A full time Faculty Administrator's initial salary will be based on the following factors, as applicable: prior relevant administrative experience, market factors, comparable positions on campus or within the UC system, and the individual's professorial salary.

B. Merit increases:
Deans and 100% Faculty Administrators found to be performing at a satisfactory level during their annual review will receive a merit increase, effective July 1, equivalent to the across the board salary increase program for Senate Faculty.

C. Other salary increases:
Deans and 100% Faculty Administrators are not subject to across the board salary scale increases and associated salary programs.

The Chancellor is authorized to approve pay increases based on equity, retention, or at the time of a five-year review in accord with APM 240-18 c. and 246-18 c.

The amount of pay increase at the time of the five-year review will be based on the five-year assessment, the candidate's current position within the salary range and relative to other internal positions, and the availability of funding. Equity or retention increases may also be granted during the appointment period and should be effective July 1 to the extent possible.

D. Additional Compensation:
A Dean or 100% Faculty Administrator may receive up to 1/12th payment for summer research or for summer session teaching in exchange for accrued vacation days. Vacation days may not be used in advance of accrual. Individuals holding an Acting or Interim appointed on an academic year basis may receive summer compensation, not to exceed 3/9ths, exclusive of stipends.

IV. Conflict of Commitment and Outside Professional Activities

Deans and full time Faculty Administrators are subject to APM- 025 and Red Binder I-29 with the following additional provisions:

(1) A Dean or full time Faculty Administrator may serve on no more than three for-profit external boards for which he or she receives compensation and for which he or she has governance responsibilities.

(2) All outside professional activities, including compensated consulting activity, shall be reported annually to the Executive Vice Chancellor.

(3) A Dean or full time Faculty Administrator may in each fiscal year engage in a maximum of 48 calendar days of compensated outside professional activity. The first 12 days per fiscal year do not require use of vacation time. Days in excess of 12 require use of accrued vacation leave, which must be used in full day increments.

V. Leaves

Deans and full time Faculty Administrators accrue and use vacation in accordance with APM-730, at a rate of 16 hours per month for a full time, fiscal year appointment. Vacation is used in full day increments only. Time cards are to be kept up to date on a monthly basis in the Kronos timekeeping system.

Deans may be granted a transition leave immediately following the conclusion of the service as Dean. The leave will be paid at either the current administrative or the faculty rate, dependent on when the sabbatical leave credits were accrued. Transition leave is subject to the conditions of APM 240-60 e.

Deans and full time Faculty Administrators do not accrue sick leave. However, appointees will be granted paid medical leave for periods of personal illness, injury, or disability, in accordance with APM 710-11. All other faculty leave policies are applicable to Dean and full time Faculty Administrator appointments (Red Binder VI-1).

FACULTY ADMINISTRATORS LESS THAN 100% TIME

(Revised 6/20)

The system-wide policy for Faculty Administrators who are appointed at less than full time is set forth in Academic Personnel Manual (APM) 241. The system-wide policy for Department Chairs is set forth in Academic Personnel Manual (APM) 245. At UCSB, the application of these policies is outlined in the following:

I. Definition

A faculty member who is appointed to assume administrative responsibility in addition to, or in partial replacement of his or her faculty responsibilities is considered a Faculty Administrators at less than 100% time. Normal scholarly activity is expected to continue at a proportionate level that would allow for normal progression in the faculty member's academic series. Faculty may be appointed to less than 100% time administrative positions into the following titles:

Associate Vice Chancellor, Associate Dean
Department Chair, Department Vice Chair
Director, Associate Director
Faculty Advisor
Dean of Extended Learning
Interim or Acting in any of the above

II. Terms of service

Faculty Administrator appointments at less than 100% time may be for a period of time up to five years, subject to reappointment. Appointment as Acting or Interim will normally be for not more than a one year period, subject to reappointment.

The Executive Vice Chancellor shall conduct a five-year review of each less than 100% time Faculty Administrator to determine if reappointment to another term is warranted. The administrative review process is separate and distinct from the academic merit process.

Appointees to the titles covered by this policy are at will and the individual serves at the discretion of the Chancellor. Termination of an administrative appointment does not affect the underlying faculty appointment.

III. Salary administration

A. Establishment of salary:

Less than 100% time Faculty Administrators will normally be compensated with stipends. Stipends are not subject to general range adjustments. Stipend rates will be determined based on the scope of the responsibilities of the position. Stipend will be paid using the following title codes:

0803 Associate Vice Chancellor
1010 Associate Dean
1096 Department Chair
1094 Department Vice Chair
0900 Director
0910 Associate Director
0812 Faculty Advisor
1040 Dean-Extended Learning
1099 Interim or Acting in any of the above.
1099 Other administrative service when approved by the Executive Vice Chancellor

B. Additional Compensation:

Faculty Administrators at less than 100% time may earn summer additional compensation, not to exceed 3/9ths, exclusive of stipends.

C. Faculty Administrators are limited to one administrative stipend at any given time. Exceptions may only be approved by the Executive Vice Chancellor and will occur only in rare and unusual circumstances.

D. Periods of leave:
Administrative stipends will not normally be paid during periods of sabbatical leave or other extended leaves of absence. If necessary, an acting administrator may be appointed during the term of the leave. If the administrative service compensated by the stipend will continue, the leave request should include this information.

IV. Appointment process

The Executive Vice Chancellor has authority for all appointments into Faculty Administrator positions at less than 100% time. Appointment and reappointment requests are to be addressed to the Executive Vice Chancellor, via the appropriate control point (e.g. Dean, Vice Chancellor) for comment and recommendation.

Department Chairs

University policy specifies that faculty participate in the selection of Chairs of departments (APM-015, I 4 (d)). At UCSB this consultation is carried out by the Dean prior to his or her recommendation to the Executive Vice Chancellor and the Chancellor.

As part of this consultation, in the event of a vacancy or anticipated vacancy in the Chair of any department, the Dean will officially inform the department of the circumstances and request that it determine whether or not it wishes to conduct a departmental vote. The department may conduct such a vote in any manner that it deems proper, provided that it does not abrogate any faculty member's right to express a private position on the matter directly to the Dean or the Vice Chancellor, should any member wish to do so. The Dean and Vice Chancellor will duly consider the results of any such vote and any such private communication in determining their recommendations on the appointment of the new Chairperson.

It is customary University practice that most Departmental Chairs serve terms of from three to five years. The replacement of a Chair before the completion of this normal term can be initiated by the Chancellor, the Executive Vice Chancellor, the Dean or the department. If initiated by the department, a recommendation will be forwarded to the Dean requesting that a change be considered. If initiated by the Chancellor, EVC, or the Dean, wide and timely consultation with the tenured faculty of the department will take place prior to a decision.

Directors

Appointments as Director of an Organized Research Unit (ORU) or of a Multi-campus Research Unit (MRU) may require consultation with the Advisory Committee of the unit, in accord with APM 241-24. Requests are to be forwarded via the Vice Chancellor for Research to the Executive Vice Chancellor.

V. Duties of the Department Chair

The Chair of a Department of instruction and research is its leader and administrative head. The duties of the Chair are as outlined in APM 245, appendix A:
http://www.ucop.edu/acadadv/acadpers/apm/apm-245.pdf

In addition, the Chairpersons is expected to participate in and assist in carrying out the policies and administrative decisions required for implementation of labor agreements covering academic employees, including Non-Senate Faculty, Graduate Student Employees and Postdoctoral Scholars.

V-34

OTHER ADMINISTRATIVE APPOINTMENTS

(Revised 4/15)

Service to the Campus and University is expected of every faculty member. In rare circumstances it may be appropriate to compensate faculty for short-term administrative assignments beyond those listed in Red Binder V-31. Examples include but are not limited to Chair of the Program Review Panel (PRP) or WASC Liaison Officer. Compensation for such service will normally be made via an administrative stipend. All administrative stipends must be approved by the Executive Vice Chancellor. Requests for new administrative stipends will be reviewed by the Associate Vice Chancellor for Academic Personnel prior to final approval by the Executive Vice Chancellor. Rates will depend on the scope of the assignment's responsibilities. Stipends are not subject to general range adjustments. Faculty are limited to one administrative stipend at any given time (including stipends for Faculty Administrators at less than 100% time). Exceptions may be approved by the Executive Vice Chancellor and will occur only in rare and unusual circumstances.

SECTION VI: LEAVES AND COMPENSATION

LEAVES OF ABSENCE

(Revised 2/24)

Policies on Leaves of Absence for both academic-year and fiscal-year appointees are outlined in APM 700 – 760 and the applicable memorandum of understanding for represented employees. The following contains procedures on the Santa Barbara campus relating to these policies.

I. General

A. Specific regulations have been established by The Regents and the President on certain types of leaves of absence. These are:

- Sabbatical Leave (APM 740)
- Sick Leave (APM 710)
- Family and Medical Leave (APM 715)
- Vacation (APM 730)
- Holidays (APM 720)
- Leave to attend Professional Meetings (APM 752)
- Miscellaneous Leaves (APM 750, 751, 758, 759)
- Parental Leave, Childbearing and Active Service Modified Duties (APM 760)
- Bereavement Leave (APM 758)
- Reproductive Loss Leave (APM 758)
- Jury Duty Leave (APM 758)

B. Because academic-year appointees are expected to be present from the beginning of the Fall quarter through the end of the Spring quarter, any appointee returning after the beginning of the Fall quarter or leaving before the end of the Spring quarter, should apply for a leave of absence in accordance with the applicable policy.

C. All faculty (Senate and non-senate) must submit their leave request at least 45 days in advance of the begin date of the pay period of the quarter in which the leave is to be taken, unless circumstances beyond the control of the faculty member make this impossible. Requests for sabbatical leaves must be submitted three months in advance of the begin date of the pay period for the leave. Appointees in other titles are encouraged to submit leave requests as early as possible.

D. Leave requests for periods of more than seven calendar days require approval by the Dean or Associate Vice Chancellor for Academic Personnel with the exception of the following, which may be approved at the departmental level:

- Vacation and non-FMLA use of sick leave for those in accruing titles
- Bereavement Leave
- Jury Duty Leave

Leave requests for more than 30 days also require input into the payroll system. **NOTE:** A leave without salary must be entered into the payroll system regardless of the length of the leave.

E. Senate faculty requesting a leave that will involve category I outside professional activities (Red Binder I-29) must also request prior approval of the category I activities via OATS.

F. Senate faculty or other academic employees who serve as a PI must contact their Sponsored Projects Officer prior to any planned leave to address any impact to their sponsored projects.

G. All academic employees are covered by FML, CFRA and FEHA. In most cases university policy provides greater coverage than that required by State and Federal law. Please see the appropriate APM sections, as listed above, or memorandum of understanding article for information concerning coordination of University policy and State and Federal Law. FML will normally run concurrently with other approved leave.

H. All leave requests by academic employees (other than academic student employees) are initiated via the on-line leave request module in AP Folio.

II. Leaves and the Eight Year Probationary Period; Assistant Professors, Lecturers PSOE, and Assistant Researchers

A. Childbearing, Parental Leave or a combination of both, of one quarter or more whether with or without salary, is automatically excluded from service toward the eight-year probationary period. The employee (Assistant Professor, Lecturer PSOE, or Assistant Researcher) must inform the Department Chair in writing within one quarter of the completion of the leave, if they wish the time to be included as service toward the eight-year period. It should be noted that this is considered time excluded from the clock and the employee should not be expected to produce any additional materials/ publications because of the lengthening of the probationary period. Any materials/publications that are produced, however, should be considered in the next appropriate review.

B. Periods of Active Service-Modified Duties are included as service toward the eight-year probationary period.

C. With the exception of Childbearing or Parental Leave as noted in A. above, periods of leave, either with or without salary, are included as service toward the eight-year period. Exception may be granted only if requested in conjunction with the original leave request, or in the case of sick leave, within one quarter or semester after the leave is taken. The Associate Vice Chancellor for Academic Personnel, after consultation with the Committee on Academic Personnel, may determine that the activity undertaken during the course of the leave is substantially unrelated to the individual's academic career.

D. For purposes of review for advancement or promotion accomplishments produced during the leave period will be considered as part of the total record, but the period of extension shall be excluded when evaluating the rate of research or teaching performance.

III. Leaves and Sabbatical Leave Accrual

A. Sabbatical leave credit is not accrued during a period of leave with or without pay. Credit will accrue if an absence is for less than one-half of a quarter.

B. Sabbatical leave credit will accrue during a period of Active Service-Modified Duties when the duties are equivalent to at least 50% of normal duties. When such is the case, the Chairperson's endorsement of a period of Active Service-Modified Duties should include a statement to that effect.

C. Sabbatical leave credit is not accrued during periods of service when more than 50% of the appointment is paid from extramural grant funding. Payment from extramural funding requires appointment in a Research title that does not allow accrual of sabbatical leave credit.

IV. Approval Authority

Faculty (Senate and Non-Senate)

Medical leaves within APM policy	Dean
All other leaves for up to one year, within policy	Dean
Active Service Modified Duties	Dean
Exceptions to policy	Associate Vice Chancellor
Leaves beyond one year	Associate Vice Chancellor

Senate Faculty

Sabbatical within policy	Dean
Sabbatical - exceptions, negative rec., 5 years no-change	Associate Vice Chancellor

All other Academic Appointees

Leaves covered by vacation and/or sick leave	Department Chair or Director

Active Service Modified Duties	Associate Vice Chancellor
Leaves not covered by vacation and/or sick leave	Associate Vice Chancellor
Exceptions to policy	Associate Vice Chancellor

Sabbatical Leave (APM 740)

(Revised 7/19)

Please refer to APM 740 for statement of purpose, definition, concepts, types, qualifying service, exceptions, eligibility, restrictions, compensation, and special appendices. Sabbatical leaves are granted to enable eligible Senate faculty to be engaged in intensive programs of research and/or study, thus to become more effective teachers and scholars and to enhance their services to the University. There are two types of sabbatical leave:

a) Regular sabbatical leave is leave from all regular duties to enable the individual to devote full-time to research and/or study. 9 sabbatical leave credits are required for each quarter of regular sabbatical leave at full salary. 6 sabbatical leave credits are required for each quarter of regular sabbatical leave at 2/3 salary.

b) In Residence sabbatical leave is leave during which the faculty member is in physical residence during the quarter(s) and continues to teach at UCSB. Appointees in the Professorial series will teach a regularly scheduled class that meets at least three hours per week (this requirement is not fulfilled by a 599 class taught to ones own doctoral/masters students). Appointees in the Lecturer SOE series will teach a reduced load based on the overall teaching workload. In exceptional cases significant University service may be substituted for all or part of the instructional requirement. Service must be at the campus-wide or University-wide level and must require a time commitment of equivalent to teaching a regularly scheduled class as described above. Such exceptions require prior approval by the Associate Vice Chancellor for Academic Personnel. 6 sabbatical leave credits are required for each quarter of in residence sabbatical at full salary.

Credit toward eligibility to apply for sabbatical leave is earned through service in the University during each quarter of half-time or more in a ladder rank faculty title. Credit is earned during service as an Acting or Visiting ladder rank faculty if the service is immediately followed by service in the regular ladder rank title. Refer to APM 740-11 for information concerning service in other academic series, fiscal year appointments or periods during which credit does not accrue. Note that deferral of sabbatical leave credits is automatic and no maximum accrual amount is imposed at UCSB.

A faculty member is required to return to University service immediately following a sabbatical leave for a period of time at least equal to the period of the leave. Failure to return to regular service will create an obligation on the part of the faculty member to refund the entire salary received during the leave to the University. Transfer to another UC immediately following a sabbatical does not require repayment of salary. APM 740-16 through 740-19 discusses other restrictions and limitations of sabbatical leaves; and Colleges may have separate restrictions governing obligations following special leaves.

A. Requests for sabbatical leave are submitted via the on-line leave module in AP Folio. The faculty member must provide a statement providing information outlined in APM 740-94 and an indication of the number of credits to be used to support the leave and the balance remaining after the leave.

If five or more years have passed since the last academic advancement the request must also include an updated bio-bibliography and copies of reports from any sabbatical leaves taken since the last advancement.

The department Chair will review the request and provide a list of other faculty with approved leaves during the academic year of the requested leave.

B. The application must be initiated no later than three months prior to the begin date of the pay period of the proposed leave. The department will receive a copy of the approval letter sent to the faculty member as notification of approval of the leave.

C. Within ninety calendar days following return from leave, the recipient of a sabbatical leave shall submit to the Associate Vice Chancellor for Academic Personnel a report of the results of the leave. Information to be included in this report is contained in APM 740-97 and includes:

1. Account of activities during the leave, including travel itineraries, institutions and locations visited, persons with whom there was extensive consultation or collaboration, and any formal lectures delivered.

2. Statement of progress made on the project as proposed in the application.

3. Explanation of any significant changes made in the project.

4. Appraisal of the relationship between the results anticipated in the leave project statement and those actually achieved.

5. Statement of future activity related to the project, including plans for completion of the project and publication of results.

The report will become a part of the supporting materials submitted with any proposal for subsequent promotion or merit increase.

SICK LEAVE

(Revised 2/24)

Academic appointees do not accrue sick leave credit with the exception of certain groups listed below, in APM 710-l4, or the applicable Memorandum of Understanding (MOU) for represented academic employees. Academic appointees who accrue sick leave shall maintain proper records to show accrual and usage of sick leave credit. In the case of illness of faculty (as defined in APM 110 F (15) who do not accrue sick leave, leave with pay up to the maximums described in APM 710-11 a and b may be approved by the Dean. Leaves in excess of the APM maximums require approval of the Associate Vice Chancellor for Academic Personnel.

A. The following are eligible to accrue sick leave credit provided the appointment is at fifty percent or more time:

- Professional research series
- Specialist series
- Project Scientist series
- Librarian series
- Associate and Assistant University Librarians
- Continuing Educator
- Academic Coordinator

B. Appointees who accrue sick leave accrue at the rate of one working day per month for full-time service, including periods of leave with pay other than terminal vacation. Accrual for part time employees is based on the percent time on pay status during the month. See RB VI-8 for accrual codes.

C. Accrued sick leave is to be used in keeping with normally approved purposes including personal illness; medical appointments, childbearing and childrearing (see APM 715 and 760), or disability, as defined in APM 710-20, or the applicable MOU.

D. Faculty who do not accrue sick leave may apply for medical leave as follows.

If appointed for one year or more the appointee may apply for up to one quarter of leave with pay due to personal illness at a time. A physician's statement assessing the prognosis for return to duty may be requested prior to approval of the leave. Should the illness require an extension beyond the initial quarter of leave with pay, a physician's statement must be provided with the request for extension. Exceptions beyond the APM maximums will be considered on an individual basis. At no time may paid medical leave exceed three consecutive quarters.

If appointed for less than one year, the appointee may apply for paid leave due to personal illness for approximately the period that would be accrued during the appointment in accord with the accrual rates in APM 710-18.

E. Accrued sick leave may also be used for medical appointments or to care for an appointee's ill child, parent, spouse, domestic partner, sibling, grandparent, grandchild, or designated person, as defined in APM 710-20, APM 715-0, or the applicable MOU. Faculty who do not accrue sick leave may request up to one quarter of leave with pay for the care of a family member or other designated person as defined in APM 710-20.

F. Sick leave that is granted for a serious health problem, or to care for a parent (including parent-in-law), child, spouse, domestic partner, grandparent, grandchild, sibling, or other designated person with a serious health problem may also be covered as a Family and Medical Leave (FML) and/or under California Family Rights Act (CFRA), as applicable (see APM 715 or the applicable MOU.) Family and Medical leave will normally run concurrently with approved sick leave.

G. Represented academic employees are eligible for medical leave to the extent allowed in the appropriate MOU and applicable state and federal law.

CHILDBEARING LEAVE AND PARENTAL LEAVE

(Revised 4/23)

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 pregnancy, childbirth, or related medical conditions.

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-l8. 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 100% 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.

ACTIVE SERVICE- MODIFIED DUTIES

(Revised 2/22)

A. Periods of Active Service-Modified Duties, with pay, shall be granted on request to any academic appointee who is responsible for 50 percent or more of the care of an infant for the period before and/or immediately following a birth, or adoption of a child, in order that the parent can prepare and/or care for the infant or child. Active Service-Modified Duties is not a leave, but rather a reduction of duties. Eligibility for Active Service- Modified Duties will normally extend from 3 months prior to 12 months following the birth or placement. The period of Active Service-Modified Duties must be concluded within 12 months following the birth or placement. During this period normal duties shall be reduced. For represented non-senate faculty, the accommodation may involve the assignment of additional resources. Duties to be assumed during this period shall be arranged between the Department Chairperson and the appointee.

B. For appointees who do not accrue sick leave, periods of Active Service-Modified Duties at full pay shall be granted upon request.

C. For appointees who accrue sick leave, periods of Active Service-Modified Duties shall be granted upon request. Sick leave shall be used in proportion to the reduced work-load. If sick leave credit has been exhausted, there shall be an appropriate reduction in pay.

D. Requests for periods of Active Service-Modified Duties are submitted online via the Leave module in AP Folio. The following must be included in the text box of the request:

a. A statement by the academic appointee certifying that they have 50 percent or more of the responsibility for the care of an infant or young child.

b. Specific detail regarding the duties to be performed and/or the duties from which will be released during the period of ASMD~~.~~

E. An individual other than the childbearing appointee will be eligible for up to 12 weeks (fiscal year appointee) or one quarter (academic year appointee) of Active Service-Modified Duties for each birth or adoption. The childbearing appointee will be eligible for up to 36 weeks (fiscal year appointee) or three quarters (academic year appointee) of Active Service-Modified Duties, or childbearing leave plus Active Service-Modified Duties.

VACATION

(Revised 2/20)

A. For non-represented academic employees, see APM 730 for conditions governing accrual, use, and record-keeping and RB VI-8 for accrual codes. Vacation accrual and usage for represented academic employees is governed by the applicable MOU.

B. Academic-year employees are expected to be in residence throughout the academic year and do not accrue vacation leave.

C. Fiscal-year non-student academic appointees who are appointed for six months or more at 50% time or more accrue vacation credit. Credit is accrued at the rate of two working days a month for full-time service and pro-rated for appointment at less than 100% time. There is no waiting period for accrual or use of accrued vacation. If the individual holds two appointments (staff or academic), each for at least six months, the percent of employment is combined to determine eligibility for vacation accrual. No accrual occurs in any month where the percent time worked drops below 50%.

D. Graduate Student Researcher must be appointed for 12 consecutive months or more at 50% time or more to accrue vacation.

E. Postdoctoral Scholars do not accrue vacation, but are entitled to personal time off in accord with the provisions of the collective bargaining agreement, Article 17.

OTHER LEAVES

(Revised 2/24)

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, Reproductive Loss Leave, 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, bereavement, or Reproductive Loss leave. Academic appointees may use available paid leave options during an approved bereavement or Reproductive Loss 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.

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.

ACADEMIC LEAVE ACCRUAL RATES

(Revised 4/19)

Type of Appointment	**Accrual Rate per month***
Appointments made on 9/12 or 9/9 basis:	
Academic Coordinators 9/9	No vacation, 8 hours sick leave
Academic Coordinators 9/12	No vacation, 8 hours sick leave only during the 9 months of service
All other 9/9 and 9/12 appointments	No vacation, no sick leave
Appointments made on 11/12 basis (other than GSR):	
Less than 6 months, less than 50% time	No vacation, no sick leave
Less than 6 months, 50% time or more	No vacation, 8 hours sick leave
6 months or more, less than 50% time	No vacation, no sick leave
6 months or more, 50% time or more	16 hours vacation, 8 hours sick leave
Graduate Student Researchers:	
Less than 12 months at any percent time	No vacation, no sick leave
12 months or more, less than 50%	No vacation, no sick leave
12 months or more, 50% or more	16 hours vacation, no sick leave
Postdoctoral Scholars	12 days sick leave, 24 days PTO per 12 month appointment

*Prorated when less than full time.

VI-9

COMPENSATION

(Revised 9/18)

Academic- year appointment

An academic –year appointment is appropriate for an individual whose responsibilities are aligned with the academic year,(i.e fall, winter, and spring quarters.) Teaching appointments and some academic coordinator appointments are academic- year appointments. Appointments can be made on a 9/9 (nine paycheck) or 9/12 (twelve paycheck) basis. Senate faculty appointments are 9/12. Student teaching appointments are 9/9, although Fall quarter can be paid on a special four-month basis. Other temporary teaching appointments are, in general, 9/12 when the individual is appointed all three quarters and 9/9 if appointment for only one or two quarters.

Academic-year appointments have specific pay period dates regardless of the actual service dates for the year. (See Pay and Service Periods chart) If an academic –year appointee holds other appointments on campus, it is necessary to take the other appointments into consideration when determining if the 9/9 or 9/12 basis is appropriate. Academic Personnel should be consulted in such cases.

Fiscal-year appointment

Fiscal-year appointments are not aligned with the academic year and have begin and end dates that reflect the actual dates of work. Research appointments and some academic coordinator positions are fiscal-year appointments. To convert an academic-year salary to a fiscal-year salary, a factor of 1.16 is used.

Regular compensation

Academic salaries are based on the academic salary scales published by the Office of the President and are subject to both Academic Personnel Manual and Red Binder policies and guidelines.

Academic employees are considered exempt if they 1) have a primary appointment in a teaching or student title, or 2) have earnings that exceed the Department of Labor threshold for exempt/non-exempt classification.
Exempt employees are paid on a percentage basis at a monthly rate on the monthly (MO) pay cycle, with the exception of Readers and Remedial Tutors who are paid on an hourly pay rate, with positive reporting of time. Non-exempt employees will be paid at an hourly rate, based on hours reported on the bi-weekly (BW) pay cycle. Non-exempt employees are eligible for over-time pay if they work more than 40 hours in a week. For employees with multiple appointments, the determination regarding exempt/non-exempt status will take into consideration all appointments.

Academic appointees may not be employed beyond 100% except for reasons specifically covered by additional compensation policies (RB VI-10 through VI-17). The 100% limit includes regular base pay and by-agreement payments (REG, BYA, and TST in payroll). In general employees should receive payment on a percentage based, regular (REG) appointment. The percentage appointment must accurately reflect the percentage of time worked. For example, an employee working 100% time must be paid at 1.00. A Principle Investigator may voluntarily pay him or herself at a percentage lower than the actual working hours.

Flat-rate (BYA and TST) payments

Departments should consult with Academic Personnel prior to use of a flat-rate payment.

When a flat-rate payment is proposed, the department must indicate the number of hours that will be worked. For one-time payments, the hours will be a single figure. For an on-going flat-rate payment the hours may be provided on a per week or a per month basis.

If the flat-rate payment will be in addition to an already existing academic appointment, the total combined appointments for the individual may not exceed 100% or 40 hours in one week. If the employee is hired at 100% time (or an appointment percentage too high to accommodate the flat-rat payment) , the main appointment must be reduced by a percentage that will accommodate the hours associated with the flat-rate payment.

If the flat-rate payment will be the only academic appointment, the normal processes for requesting an appointment in the title must be followed.

Initial Employment

An individual who will perform academic service for the campus for more than two weeks must be appointed to an appropriate academic title, entered into the payroll system and must sign the Oath of Allegiance (except non-US citizens) and Patent Acknowledgment. Both paid and without salary employees are required to sign the Patent Acknowledgement. Both the Oath and Patent Acknowledgement must be signed on or before the first date of service to the University. For 9/12 employees the documents must be signed on or before the first day of service for the quarter of initial employment.

All new employees must show evidence that they are eligible to be employed in the United States. The I-9 should normally be completed on or before the first day of employment. In no case may the I-9 be completed more than three days after the first date of employment. For 9/12 employees the I-9 must be completed on or before the first day of service for the quarter of initial employment.

ADDITIONAL COMPENSATION

(Revised 2/24)

General Policies

Reference: APM 661-667

Additional compensation is any compensation, paid to an academic appointee by the University in excess of their full-time salary. The term "University" includes all campuses within the UC system. The term "additional compensation" refers only to compensation paid through the University payroll system and is not used to refer to compensation for employment outside of the University.

Additional compensation during the Summer quarter is allowed for academic appointees paid on a 9/12 basis. This is possible because the individual works for the University from September through June, but receives 12 paychecks spread over the year. If they do additional work for the University during the Summer, they can be paid additional money. They will continue to receive their regular pay as well as the additional compensation. All ladder rank faculty, as well as those in the Visiting Professors, Adjunct Professors, and Lecturer SOE series are eligible to earn additional compensation. Non-Senate faculty (Lecturer, Supervisor of Teacher Education, etc.) may also earn additional compensation subject to Article 37 of the Memorandum of Understanding. Additional compensation payments for research activities are made at the 1/9th rate based on the annual salary at the time of the activity. Additional Compensation payments for Summer Session teaching are made on a flat rate basis. The total additional compensation during the summer may not exceed the equivalent **of 3/9ths of the faculty member's annual salary.**

Additional compensation during the academic year is allowed only for duties not directly related to the individual's recognized University duties. Examples of this include department chair stipends, Professional and Continuing Education teaching, lectures given on other UC campuses and faculty consulting.

Additional compensation for fiscal year academic employees is generally not allowed, with the exception of some types of honoraria and Summer Session teaching.

Red Binder VI-14 and VI-17 provide further detail regarding specific types of additional compensation.

Other than the specific types of service covered by policy and applicable bargaining agreements, Academic appointees may not be employed beyond 100%.

Additional compensation for the summer period is calculated using the "Daily Factors 19-day Chart (Red Binder VI-12). The chart is used to determine the percentage of time and effort equivalent to the number of summer days worked. Each day during the summer can only be used once and the total percent time for each day may not exceed 100%.

Summer additional compensation may only be earned during the designated summer period. This is the time period from the day following the last day of final exams in the spring, through the last day before classes start in the fall. The dates represent the available days in each month of the summer period. This information will be updated on an annual basis. For transactional purposes the service days are converted to a percentage spread over the coinciding pay period. Because available service dates may exceed 19 in a given month, service days beyond 19 in a month may be paid on a secondary position/job up to the maximum allowable percentage of time in the service month. The specific dates for each summer period are posted annually on the Academic Personnel web site on the Compensation and Benefits tab https://ap.ucsb.edu/compensation.and.benefits/

19-DAY CHART
(Daily Factors)
(Revised 04/13)

Number of Working Days in the Month that will be used	Distribution Percentage to be used	Number of Working days in the Month that will be used	Distribution Percentage to be used
1	.0526	13	.6842
2	.1053	14	.7368
3	.1579	15	.7895
4	.2105	16	.8421
5	.2632	17	.8947
6	.3158	18	.9474
7	.3684	19	1.000
8	.4211	20	1.0526
9	.4737	21	1.1053
10	.5263	22	1.1579
11	.5789	23	1.2105
12	.6316		

When using the 19-day chart, 3/9ths is equal to 57 working days (not 3 calendar months). This is based on the average number of working days in a regular academic quarter. Working days are defined as Monday through Friday, including paid holidays. Additional compensation may, therefore, never exceed a total of 57 working days during the summer period. A distribution line on the payroll system may show in excess of 1.0000 in a given month, provided that the total compensation is to exceed one month (19 days). If a total of 2/9ths is to be received, the individual could receive more than 1/9th in the first month (distribution line showing more than 1.0000), and the remainder in the second month for the total distributions to equal 2.0000.

EXTRAMURALLY FUNDED RESEARCH

(Revised 2/23)

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 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 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**.

INTERCAMPUS PAYMENTS

(Revised 9/20)

Reference: APM 666

One-time Payments

Under certain circumstances Academic appointees holding full-time appointments may receive honoraria for lectures or similar services given on another UC campus. Such compensation may not be made from state funds, but is permitted from gifts, endowments, contracts and grants with specifically budget provisions for such honoraria or from Continuing and Professional Education. If non-state funds are not available, a faculty member may only be reimbursed for actual expenses incurred in presenting lectures or performing similar services from 19900 funds.

One-time honoraria payments are allowable up to $2,500 per event, and up to $5,000 by exception, requiring the approval of the Associate Vice Chancellor for Academic Personnel. During the academic year the total earned for lectures and similar services may not exceed 10% of the individual's annual salary. Payment will be made using the earn code of **HON**.

Payments for lectures and similar services that take place during the summer count toward the 3/9th limit for summer additional compensation.

Multi-campus appointments

In situations where an academic employee is simultaneously employed on two campuses approval from the appropriate Dean's office and/or Academic Personnel office must be obtained **prior** to the processing of the Intercampus One-Time Payment form or the Temporary Intercampus or Multi-campus Appointment Form. The total percent time on the two campuses may not exceed 100% other than for allowable types of additional compensation.

Processing of forms

When UCSB is the host campus, the department will prepare an Intercampus One-Time Payment form or Temporary Intercampus or Multicampus Appointment Form indicating the desire to hire a person from the home campus. The UCSB department should contact the home department to verify the individual's current title, pay rate and basis of pay. The form should be filled out to include the person's name, title for payment, the host department's name, the rate of pay and the period of the appointment. The appropriate individual in the department should sign as the "Host Campus Fund Source Authorization. The completed form must be submitted to the Academic Personnel office, with a copy sent to College office or other appropriate control point. The Academic Personnel office will assure that the payment is allowed by policy and that the appropriate appointment paperwork has been processed for multi-campus appointments.

When UCSB is the home campus, the Intercampus One-Time Payment form or Temporary Intercampus or Multicampus Appointment Form will be prepared and sent by the host campus department directly to the UCSB Academic Personnel office, and will then be forwarded to the home department. The department should verify the accuracy of the information on the form, ensure policy compliance, and obtain the appropriate departmental signature on the "Home Campus Dean's Office/Academic or Staff Personnel" line. The completed form must be submitted to the Academic Personnel office, with a copy sent to the College office or other appropriate control point.

One-time payments will be processed by the Academic Personnel UCPath unit. Multi-campus appointments will be processed as new hires by the department.

OTHER ADDITIONAL COMPENSATION

(Revised 4/23)

I. Summer Session teaching

Reference: APM 661-14

Faculty may receive additional compensation for teaching Summer Session classes. The Summer Session's staff performs the payroll transaction, rather than departments. **NOTE**: These payments count towards the 3/9ths maximum that may be earned during the summer.

Summer Session payments are always calculated based on the 6/30 pay rate rather than the 7/1pay rate. The earn code **ACS** is used for individuals who are eligible for UC retirement contributions on Summer Session earnings. Days used for summer session payments may overlap days used for other types of summer compensation; however, the 3/9ths maximum may not be exceeded.

The earn code **ASN** is used for individuals who are not eligible for UC retirement contributions on Summer Session earnings. This is not considered additional compensation.

Full time fiscal year employees wishing to teach Summer Session classes may not earn additional compensation. The regular employment must be reduced to accommodate the Summer Session teaching so that total employment does not exceed 100% time.

II. Professional and Continuing Education teaching

Reference: APM 662, appendix B-2

Faculty may teach courses through Professional and Continuing Education. These payments count towards the 3/9ths maximum that may be earned during the summer if the teaching takes place during the summer months. If a faculty member is earning 3/9ths from other sources during the summer, they may in addition earn compensation from Professional and Continuing Education equal to one day a week during the period in which additional compensation may be paid. During the academic year, payments are subject to the University limits relating to outside professional activities (Red Binder I-29).

The earn code **ACX** is used for University Extension Teacher payments.–

III. Faculty consultant services

Reference: APM 664

A faculty member may receive additional compensation for consulting on projects conducted under the auspices of the University if the consulting does not fall within the normal duties of the individual. The rate is negotiated, but may not exceed the daily rate plus 30%. The additional 30% is in consideration of the fact that no benefits are paid on the salary. If payment is to come from a grant, the grant should first be reviewed to assure that consultant payments are allowed. Payments are allowed during both the academic year and the summer months. During the summer the compensation counts toward the 3/9ths limit. For academic-year employees the daily rate is figured by dividing the annual salary by 171. For fiscal-year 11-month employees the daily rate is figured by dividing the annual salary by 236.

The payment is made as additional pay using the earn code of **ACF**.

IV. University awards

When University awards such as the FCDA and Regents' Fellowships are granted, the Department will be instructed as to the proper payment methodology. The earn code of ADC should be used.

V. Department Chair and Director stipends

Department Chairs and Directors are paid a monthly stipend with an earn code of **STP** on an 11/12 basis at the rate

approved by the Executive Vice Chancellor. Red Binder V-31 provides further detail regarding part-time administrative appointments. Chair and Director stipends paid during the summer months do not count towards the 3/9ths limit.

VI. Start-up and retention research support

Research support from state or gift funds, usually associated with start-up or retention packages, is to be paid using the Daily Factors 19-day chart consistent with the methodology for summer research payments from extramural sources (see Red Binder VI-14).

VII. Dean's summer research compensation

In accord with Red Binder V-28 III D. Deans may be paid summer research funds in exchange for vacation time. Payments are to be made using the Dean title code, the 1/12th rate as the distribution rate, and the earn code of **AFR.**

VIII. Honoraria

Academic employees may receive honoraria for work related to University-sponsored conferences and panels, or creative work unrelated to the primary job responsibilities. Honoraria may not be paid using State funds. When work of this type is performed at a different UC campus, the payment is processed via an intercampus payment (see Red Binder VI0-15). When the work is performed at UCSB, it may be paid through the payroll system as an honoraria, using the earn code of **HON**. One-time honoraria payments are allowable up to $2,500 per event, and up to $5,000 by exception, requiring the approval of the Associate Vice Chancellor for Academic Personnel.

IX. Other Summer Additional Compensation

Occasionally payment for other non-teaching, non-research work may be appropriate. In such cases the Academic Personnel office should be consulted to determine the appropriate title code and earn code to be used.

VI-18

SHORT WORK BREAK

(Revised 2/23)

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. 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.

APPLICATION FOR ALIEN SALARY ADVANCE

(Revised 9/18)

The Alien Salary Advance procedure was established to assist incoming alien academic appointees who need monetary assistance while getting settled in the United States. This fund is only available to those who have entered this country within the last 6 months.

An alien salary advance may be requested for up to $8,000.00. The advance must be paid in full thirty days prior to the ending date of the appointment or within six months of arrival, whichever comes first.

Advances are not available (except on rare occasions) until the first day of the employee's appointment. The employee may apply three to four days prior to the beginning date of the appointment to allow for processing of the application.

The application for the advance should include the following, which is prepared by the department:

1) The request should be made on departmental letterhead, addressed to the Associate Vice Chancellor, explaining the reason for the advance request; the amount; and the monthly repayments most convenient for the applicant. This letter should include the department chair's signature as well as the applicant's signature.

2) The department prepares a Form 5 check-request with the following information: The name of the person receiving the check, the reason for the check (i.e., "Alien Salary Advance"), the amount, and the departmental contact for check pick-up.

3) A copy of the appointment letter with final approval.

The Associate Vice Chancellor will approve the letter of request, sign the check request, and send the forms to Accounting for processing. Questions concerning alien advances should be directed to Academic Personnel, extension 3445.

F.W. DOHRMANN LOAN FUND

(Revised 9/18)

The F.W. Dohrmann Loan fund has been established to provide short- term emergency loans to Senate faculty. The fund is supported by an endowment held at the Office of the President. The purpose of this loan is to supply funds in the case of unusual circumstances involving real and personal hardship.

Loans are reviewed and considered on a case by case basis and may not exceed $5,000. Loans will be repaid through payroll deductions and will normally be repaid within one year of issuance or at least 30 days before the ending date of the appointment, whichever comes first. Loans repaid within one year will be charged no interest. In the event that a loan is, by exception, extended beyond one year, interest will be charged at a rate of 5% per annum.

The Dohrmann loan is not intended for recurrent use, but for very occasional emergencies. Because this is a revolving account, repayment is encouraged as soon as possible, so that funds are available for other faculty members.

To request a Dohrmann Loan, the Loan application form must be completed, signed, and submitted to the Associate Vice Chancellor for Academic Personnel.

Once a request has been received by the Associate Vice Chancellor, it may take up to 3 business days to approve and issue the loan. Upon approval of the loan, the recipient will be notified by phone and asked to sign an Unsecured Promissory Note, which will authorize the payroll deduction of the loan repayment.

Questions regarding eligibility may be directed to the Academic Personnel office at x3445.

SEPARATIONS FROM THE UNIVERISTY

(Revised 2/23)

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 department must provide 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 establishment into emeriti status should be initiated by the department following the instructions in 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. The department initiates the UCPath involuntary termination transaction.

SECTION VII: ACADEMIC SEARCHES

POLICIES ON OPEN RECRUITMENT FOR ACADEMIC APPOINTMENTS

(Revised 4/23)

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.

These laws expand pay equity and pay transparency by requiring California employers to disclose pay scales and prohibiting employers from seeking or relying on applicants' salary history information, including compensation and benefits, in the recruitment process. These laws further safeguard the right of all persons to obtain and hold employment without discrimination based on specified characteristics or status, and they are intended to address inequity in pay practices based on gender, race, color, religion, sex, national origin, disability, age, protected veteran status, gender identity, or sexual orientation.

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 research or teaching positions.

- Pre-six Unit 18 Lecturer standing pool recruitment advertisements must be terminated on March 31, annually. New advertisements may begin after April 1 of each year.
- 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.
- 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 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 using one of the appropriate categories as listed above.
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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 using the appropriate category of the three listed above. Departments may not select "Other."

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 their 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.

VII-4

PROCEDURES FOR RECRUITMENT OF SENATE FACULTY AND OTHER PERMANENT ACADEMIC APPOINTMENTS

(Revised 4/23)

Before initiating a search, the department chair should review Red Binder I-14 Faculty Appointments, and I-13 Retention of Academic FTE. The department must have an allocated FTE and prior approval from the Executive Vice Chancellor to recruit for the position. For other permanent academic positions (i.e. Librarians) appropriate approval for the use of the FTE must have taken place.

The following steps are to be taken by the Department:

A. Recruiting

1. Form a search committee.

2. Determines the length of the recruitment period.

3. In consultation with appropriate control points, determines the expected salary or budgeted range that the department reasonably expects to pay – see Guidelines for the Application of SB 1162 and AB 168 on AP website.

4. Determines the publications or recruitment sources to be used. Advertising through the JobElephant service is highly recommended to assure Labor Certification requirements are met should the eventual hire be a non-US citizen. If JobElephant is not used, the department should consult with the Office of International Students and Scholars at oiss@sa.ucsb.edu to assure current Labor Certification requirements are met.

5. Sets a realistic deadline for applications so that campus Equal Opportunity & Affirmative Action policy and procedures can be carried out without undue pressures. The advertising period should be long enough to provide the opportunity to attract a reasonable number of applicants and a diverse pool. Permanent positions must be advertised for at least 30 days.

6. Follows established departmental and campus procedures and review criteria for the application process.

7. Completes the Recruitment Plan in UC Recruit. The Recruitment Plan contains all relevant information on how the position will be advertised, how the applicants will be evaluated, and the efforts that will be made to ensure equal employment opportunity and to reach a diverse applicant pool in which women and minorities are represented.

8. Submits the Recruitment Plan in UC Recruit for review and approval by the Department Chair, the Office of Equal Opportunity & Discrimination Prevention, the Dean, and Academic Personnel.

9. Publishes the recruitment in UC Recruit after the Recruitment Plan is approved.

10. Places any additional approved advertisements for the position, including required EO/AA and SB 1162 language, as specified in Red Binder VII-7. Retains all copies of advertisements as they appear in publications and on-line, including the duration of advertisements.

11. Performs all other good faith recruitment efforts to increase the diversity of the pool.

B. Processing Applications and Interviewing

1. After the close date, reviews the quality of application materials. When an applicant pool does not contain sufficiently qualified people to fill a vacancy, it may become necessary to extend or reopen a search. The department is responsible for repeating the requisite steps as necessary.

2. Consults with the Dean's office to schedule the Dean review of the applicants. College requirements may vary.

3. Generates the Short List Report in UC Recruit and submits for approval in UC Recruit by the Department Chair, Equal Opportunity & Discrimination Prevention, and the Dean.

4. Upon receiving the approval of the Short List Report, contacts prospective candidates and invites them to campus for an interview. Additionally, ensures that the proposed interview schedule is appropriate and that it is applied uniformly to all candidates. Departments may reimburse candidates for interview travel and related expenses in accord with IRS regulations and University travel policies. Under exceptional circumstances, if funding is available, a candidate who has accepted an offer may be reimbursed for a single house hunting trip in accord with IRS regulations and University travel polices.

C. Search Report and Hiring Proposal

1. Once a potential hire has been identified, completes the sections labeled "Search Report" in UC Recruit.

2. Updates applicant's status in UC Recruit and enters disposition reasons for all applicants including those who were interviewed but were not selected for the position.

3. Generates Search Report in UC Recruit and submits for approval by the Chair, Dean, and Equal Opportunity & Discrimination Prevention.

VII-5

PROCEDURES FOR RECRUITMENT OF TEMPORARY ACADEMIC POSITIONS

(Revised 4/23)

The following steps are to be taken by the Department:

A. Recruiting

1. Form a search committee, if appropriate. If a committee is formed, it must include one academic employee designated as the departmental equity/diversity advisor.

2. Determines the length of the recruitment period.

3. Determines the publications or recruitment sources to be used.

4. In consultation with the appropriate control point, establishes the expected salary or budgeted range that the department reasonably expects to pay – see Guidelines for the Application of SB 1162 and AB 168 on AP website.

5. Sets a realistic deadline for receiving applications so that campus Equal Opportunity & Affirmative Action policy, and procedures may be carried out without undue pressures. The advertising period should be long enough to provide the opportunity to attract a reasonable number of applicants and a diverse pool. In no case may a recruitment run less than two weeks.

6. Follows established departmental and campus procedures and review criteria for the application process.

7. Completes the Recruitment Plan in UC Recruit. The Recruitment Plan contains all relevant information on how the position will be advertised, how the applicants will be evaluated, and the efforts that will be made to ensure equal employment opportunity and to reach a diverse applicant pool in which women and minorities are represented.

8. Publishes the recruitment in UC Recruit after the Recruitment Plan is approved.

9. Places any additional approved advertisements for the position, including required EO/AA and SB 1162 language, as specified in Red Binder VII-7. Retains all copies of advertisements as they appear in publications and online, including duration of advertisements.

10. Performs all other good faith recruitment efforts to increase the diversity of the pool.

B. Processing Applications and Interviewing

1. When an applicant pool does not contain sufficiently qualified people to fill a vacancy, it may become necessary to extend or reopen a search. The department is responsible for repeating the requisite steps as necessary.

2. Updates the applicant's status in UC Recruit.

3. Contacts prospective candidates and invites them to campus for an interview. Additionally, ensures that the proposed interview schedule is appropriate and that it is applied uniformly to all candidates. Departments may reimburse candidates for interview travel and related expenses in accord with IRS regulations and University travel policies. Under exceptional circumstances, if funding is available, a candidate who has accepted an offer may be reimbursed for a single house hunting trip in accord with IRS regulations and University travel polices.

C. Equal Opportunity Hiring Proposal

1. Once a potential hire has been identified, completes the sections labeled “Search Report” in UC Recruit.

2. Updates the applicant’s status in UC Recruit and enters disposition reasons for applicants including those who were interviewed but were not selected for the position.

3. Generates Search Report in UC Recruit and submits for approval by the Chair, Dean, and Equal Opportunity & Discrimination Prevention.

SUPPLEMENTAL INFORMATION ON ACADEMIC ADVERTISING

(Revised 2/24)

I. General

The Office of Equal Opportunity & Discrimination Prevention, whether the advertising source is free or for a fee, must approve all academic advertisements.

Responsibility for the cost and placement of ads with vendors, distribution of advertisement flyers, etc., is the responsibility of each hiring department. Deans or control points may allocate funds to departments for the purpose of advertising. Costs beyond those allocations are the responsibility of the department.

All academic position advertisements are posted on UC Recruit.

II. Basic Elements of an Advertisement

1. Name of campus department and the academic program where the vacancy is located

2. Job Number–Assigned by UC Recruit at the time the search plan for the position is created.

3. Expected recruitment type (external or internal search)

4. Expected hire type (single, multiple, or pooled recruitment)

5. The level of the position if determined (e.g., Assistant, Associate, Open). For Senate faculty positions the level of the position listed in the ad must reflect the approved level of the provision.

6. The area of specialization/research–Preference or emphasis for a particular area of specialization can also be included. For Senate faculty positions the area must reflect the approved area of the provision.

7. The expected start date of the position (e.g., effective July 1, 2022; or effective 2022-23)

8. The expected salary or budgeted range that the department reasonably expects to pay, per newly updated SB 1162 guidelines – see Guidelines for the Application of SB 1162 and AB 168 on AP website.

9. Requirements–List any educational or other academic degree requirements if applicable. Care should be taken to clearly identify required basic qualifications from additional or preferred qualifications for the position.

10. Specify what constitutes a complete application. Departments may wish to request items such as the following:
    - a curriculum vita
    - statement of research interests
    - samples of published work
    - number of references required and the manner by which a letter of recommendation is obtained.

11. Specify a deadline for receiving applications. Whenever possible, Senate faculty searches should set an application deadline between November 15 and December 31. Application deadlines later than February 1 should be avoided when anticipating a July 1 start date. Departments should be mindful of the Intercampus deadline of April 1 (APM 510).

12. The following must be included in each ad:

    - The pay scale the department reasonably expects to pay ($X-$Y) must be included in all job postings in UC Recruit and shared with any third parties engaged to assist with job postings, as applicable.

    - "The University is especially interested in candidates who can contribute to the diversity and excellence of the academic community through research, teaching and service as appropriate to the position." In addition, the advertisement must end with: "The University of California is an Equal Opportunity/Affirmative Action

Employer. All qualified applicants will receive consideration for employment without regard to race, color, religion, sex, sexual orientation, gender identity, national origin, disability status, protected veteran status, or any other characteristic protected by law."

- As a condition of employment, you will be required to comply with the University of California Policy on Vaccination Programs, as may be amended or revised from time to time. Federal, state, or local public health directives may impose additional requirements.

UNIVERSITY OF CALIFORNIA
NONDISCRIMINATION AND AFFIRMATIVE ACTION POLICY
REGARDING ACADEMIC AND STAFF EMPLOYMENT

University of California
Office of the President

July 1, 2008

It is the policy of the University not to engage in discrimination against or harassment of any person employed or seeking employment with the University of California on the basis of race, color, national origin, religion, sex, gender identity, pregnancy,[1] physical or mental disability, medical condition (cancer-related or genetic characteristics), ancestry, marital status, age, sexual orientation, citizenship, or service in the uniformed services (as defined by the Uniformed Services Employment and Reemployment Rights Act of 1994).[2] This policy applies to all employment practices, including recruitment, selection, promotion, transfer, merit increase, salary, training and development, demotion, and separation. This policy is intended to be consistent with the provisions of applicable State and Federal laws and University policies.

University policy also prohibits retaliation against any employee or person seeking employment for bringing a complaint of discrimination or harassment pursuant to this policy. This policy also prohibits retaliation against a person who assists someone with a complaint of discrimination or harassment, or participates in any manner in an investigation or resolution of a complaint of discrimination or harassment. Retaliation includes threats, intimidation, reprisals, and/or adverse actions related to employment.

In addition, it is the policy of the University to undertake affirmative action, consistent with its obligations as a Federal contractor, for minorities and women, for persons with disabilities, and for covered veterans.[3] The University commits itself to apply every good faith effort to achieve prompt and full utilization of minorities and women in all segments of its workforce where deficiencies exist. These efforts conform to all current legal and regulatory requirements, and are consistent with University standards of quality and excellence.

In conformance with Federal regulations, written affirmative action plans shall be prepared and maintained by each campus of the University, by the Lawrence Berkeley National Laboratory, by the Office of the President, and by the Division of Agriculture and Natural Resources. Such plans shall be reviewed and approved by the Office of the President and the Office of the General Counsel before they are officially promulgated.

This policy supersedes the University of California Nondiscrimination and Affirmative Action Policy Regarding Academic and Staff Employment, dated January 1, 2004.

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[1] Pregnancy includes pregnancy, childbirth, and medical conditions related to the pregnancy or childbirth.

[2] Service in the uniformed services includes membership, application for membership, performance of service, application for service, or obligation for service in the uniformed services.

[3] Covered veterans includes veterans with disabilities, recently separated veterans, Vietnam era veterans, veterans who served on active duty in the U.S. Military, Ground, Naval or Air Service during a war or in a campaign or expedition for which a campaign badge has been authorized, or Armed Forces service medal veterans.

SECTION VIII: FELLOWSHIPS AND SPECIAL PROGRAMS

CAREER DEVELOPMENT AWARDS

(Revised 4/23)

The Career Development Awards are available to Senate Faculty and include three distinct awards and fellowships:

1. FACULTY CAREER DEVELOPMENT AWARD (FCDA)

The **Faculty Career Development Award** (FCDA) program provides Assistant Professors and Lecturers with Potential Security of Employment the opportunity to strengthen their records in research and other creative activity by providing funds to enable them to spend uninterrupted time pursuing research interests or independent study. The FCDA program is specifically geared toward non-tenured faculty who, because of the nature of their position or their role in campus affairs, have encountered significant obstacles in pursuit of their research, creative work, teaching, service, or mentoring obligations, or who have made unusually time-consuming efforts in helping to achieve campus diversity. The FCDA program is also intended to support these faculty in helping the campus in meeting the goals of academic excellence and faculty diversity by ultimately contributing to the recruitment and retention of quality faculty.

Eligibility: Eligible faculty include Assistant Professors and Lecturers with PSOE. Applications may be submitted by faculty who are under review for tenure or security of employment. **However, if the applicant is subsequently awarded tenure or security of employment during the award period, then he/she is no longer eligible.** This policy is consistent with the principal purpose of the program, which is to help eligible non-tenured faculty develop a substantial record in research and creative work necessary for advancement to tenure, and should be taken into account in deciding whether to apply. Faculty are eligible to receive two FCDA awards during their career.

2. REGENTS' JUNIOR FACULTY FELLOWSHIP

The principal purpose of the program is to help eligible junior faculty develop a substantial record in research and creative work necessary for advancement to tenure.

Eligibility: Eligible faculty include Assistant Professors and Lecturers with PSOE. Applications may be submitted by faculty who are under review for tenure or security of employment. **However, if the applicant is subsequently awarded tenure or security of employment during the award period, they are no longer eligible.** Faculty are eligible to receive one Regent's Junior Faculty Fellowships during their career.

3. REGENTS' HUMANITIES FACULTY FELLOWSHIP

The purpose of the **Regents' Humanities Faculty Fellowship** program is to encourage and facilitate research, advanced or independent study, or improvement of teaching effectiveness in the humanities by providing supplemental summer or sabbatical leave salary.

Eligibility: The Humanities Fellowship Program is open to faculty members in the regular and acting Assistant and Associate professorial series, Lecturers with PSOE, and Lecturers with SOE regardless of department affiliation. However, awards are recommended only for those whose projects are clearly humanistic (i.e., studies in language, both modern and classical; religion; literature; jurisprudence; philosophy, archaeology, the history, criticism and theory of the arts; and those aspects of history, linguistics and the social sciences that have humanistic content and employ humanistic methods) or in the creative arts (painters, sculptors, composers, writers, poets, stage designers, performers and other artists in creative fields). A faculty member may receive one Regents' Humanities Faculty Fellowship during their career.

An annual call is issued during fall quarter for submission of applications for the Career Development Awards. Awards are normally announced by the end of Winter quarter.

Nature of Support: Career Development Award funding is granted for specific research proposals and related scholarly activities. Two types of awards are available: course release (one course) or summer research funds. Applications specify which type of award is being sought during the application process.

Evaluation Criteria Applications for each award are carefully evaluated with respect to the following criteria:

a. Quality of the proposal, particularly with respect to potential for long-term career opportunities and development.

b. Timing of the proposed project in terms of critical periods of career advancement (e.g., tenure appraisal or other impending personnel reviews).

In addition, applications for FCDA award will also be evaluated for with particular consideration given for prior and current obstacles to the development of a record in research and creative work necessary for achievement of tenure and further advancement.

Administration: The program is administered by the Office of Academic Personnel in consultation with the Office of Equal Opportunity & Discrimination Prevention and Deans. The Career Development Award Advisory Committee will review the proposals and make recommendations in each award category to the Associate Vice Chancellor for Academic Personnel.

Reporting Requirements: At the conclusion of the award period, a brief narrative report specifying activities undertaken and the manner in which they contributed to the academic career development of the awardee is required. This report is due one month after fellowship termination and should be addressed to the Associate Vice Chancellor for Academic Personnel. Future awards will not be granted if this report is not received.

HELLMAN FELLOWS PROGRAM

(Revised 2/24)

The Hellman Fellows Program was established through a generous gift from the Hellman Family Faculty Fund of the Hellman Family Foundation. The fellowships are awarded annually and are intended to support the research and creative activity of promising Assistant Professors to assist in the successful attainment of tenure.

An annual call is issued during winter quarter for submission of applications. Awards are normally announced by the end of spring quarter.

Eligibility: Assistant Professors who will have served at least two years at rank by the time of award issuance are eligible to apply. Hellman Fellowships may not be received during the year an assistant professor is undergoing tenure review. The Hellman Fellowship is a one-time award.

Nature of Support: Awards may be used for such research-related expenses as research assistants, equipment, travel, or summer salary up to one ninth. All funds need not be spent in one year, but recipients must exhaust their funding before they come under tenure review. All expenditures must relate to the project proposed in the Hellman application.

Evaluation Criteria: Awards are made without regard to the apparent timeliness or popularity of the field of study; preference will be given to research not substantially supported by other sources.

Administration: The program is administered by the Office of Academic Personnel An advisory committee will be appointed to review the proposals and make recommendations to the Associate Vice Chancellor for Academic Personnel.

DISTINGUISHED FACULTY

(revised 5/10)

The Distinguished Faculty program is designed to provide departments with the opportunity to bring outstanding, renowned faculty for to UCSB for permanent, part- time appointments.

Eligibility: Distinguished Faculty appointments will be reserved for scholars, artists or performers of exceptional distinction. Any person nominated for these positions must be at a level of distinction and accomplishment consistent with appointment at the Above Scale professorial level.

Note: No new appointments are being made into this program. Policy is for existing appointees only

Type of Support: Each position will be funded at the level of .33 FTE from state funds.

Evaluation Criteria and Administration: Departments wishing to appoint a Distinguished Faculty member must first submit a nomination, via the Dean, to the Distinguished Faculty Committee. Along with an analysis of the qualifications of the individual, the nomination should address the anticipated manner in which the appointment will contribute to specific academic programs, as well as to the intellectual life of the campus at large. Upon approval of the Executive Vice Chancellor, the department will be instructed to submit an appointment case following procedures in Red Binder, Section I. When soliciting outside letters of recommendation the department must use the Above Scale solicitation letter (Red Binder I-53). The second paragraph of the letter may be modified to include the following wording:

> The prospective Professor Above Scale appointment of Dr. ___, is being made as a result of a special initiative on distinguished professorships developed at UCSB. This initiative allows us to add extraordinarily distinguished faculty to our campus on a permanent, albeit part-time basis (i.e., one quarter per year) without jeopardizing their position at their home institution. Professor _____ has agreed to be considered for this appointment. Insofar as the position carries tenure, we must follow the University of California process for senior tenured appointments. Consequently, I am requesting that you serve as a referee for Professor _____ by writing a letter of evaluation pertinent to _____ [his/her] case and the level of his appointment.

PRESIDENT'S RESEARCH FELLOWSHIP IN THE HUMANITIES

(Revised 9/18)

The President's Research Fellowships in the Humanities provide opportunities for faculty to undertake projects that will enhance humanities research efforts at the University and make contributions to thought and knowledge. Further information and application forms are available at http://uchri.org/funding/funding-overview-and-calendar/

Eligibility: All active ladder faculty, including lecturers with Security of Employment, may apply. The Fellowships are intended for a range of full-time University faculty, including those who have already made significant contributions to scholarship and those who are beginning their careers. Faculty may hold a Fellowship once every five years. Assistant Professors will be given special consideration.

Type of Support: The maximum fellowship amount, to be used for salary only, is $25,000. The total support package will be developed by the Executive Vice Chancellor, in consultation with the Dean of Humanities and Fine Arts. Typically, the fellowship, campus match, and exchange of sabbatical leave credits will total the faculty member's full-time salary during the award period. The faculty member must have accrued a minimum of six credits to receive the College matching contribution.

Evaluation Criteria: Applications will be evaluated on the following criteria:

1. The significance of the contribution that the proposed project will make to thought and knowledge in the applicant's field and to the Humanities general;

2. The clarity and cogency of the conception, definition, organization, and description of the proposed project;

3. The appropriateness of the proposed project goals, strategies, and timetable; and

4. The likelihood that the applicant will complete the project within a reasonable period (not necessarily within the Fellowship year).

Administration: The application and selection processes are administered by the Office of the President. Funding for the Fellowships is provided to the campus by the Office of the President.

Compensation and leave requests: Once awarded the Fellowship, the faculty member must submit a request, via the Department Chair, to the Dean confirming the intent to take the leave and the terms of the leave. The Department Chair should indicate endorsement of the leave and verify that course replacement issues have been dealt with.

The period of the Fellowship will be entered into UCPath as a paid leave.

PRESIDENT'S POSTDOCTORAL FELLOWSHIP PROGRAM

(Revised 05/10)

The President's Postdoctoral Fellowship Program is intended to encourage outstanding candidates who are committed to careers in research, teaching, and service that will enhance the diversity of the academic community at the University of California. Complete information about the program is available at http://ppfp.ucop.edu/info/

Eligibility: Applicants not already holding tenure-rank appointments and applicants who have not already had significant postdoctoral experience will be preferred. For fellowships in the Humanities, Arts and Social Sciences, the program is particularly interested in research which considers issues such as race, ethnicity and gender as they relate to traditional academic fields. For fellowships in Physical Sciences and Engineering, the program will prefer individuals who have participated in teaching, mentoring or outreach programs that promote educational opportunities for under-represented students in higher education.

Evaluation Criteria: Candidates will be evaluated based on the record of scholarship and service and the extent to which these will contribute to the diversity of the University. Special consideration will be given to applicants who demonstrated significant academic achievement by overcoming hardships such as economic, social or educational disadvantage.

Administration: The application and selection processes are administered by the Office of the President. Funding for the Fellowships is provided to the campus by the Office of the President.

Compensation: Fellows will be given awards in combination of stipend and/or research and travel funds. The stipend will be made through the payroll system with appointment as Postdoctoral Scholar, Employee, title code 3252. Appointments are made for one academic year, with the possibility of renewal for a second year.

VIII-11

POLICY ON ENDOWED CHAIRS

(Revised 2/21)

I. References:

A. University of California, Policy and Procedures Manual for Gifts and Endowments.

B. University of California Academic Personnel Manual.

C. Policy on Endowed Chairs, adopted by The Regents, effective July 1, 1996.

D. Delegation of authority, President Napolitano, July 11, 2019

II. Policy:

A. Background:
While General Fund appropriations remain the core support for the academic functions of the campus, the establishment of endowed chairs, fully funded through the support of private gifts, provides significant and singular benefit in the development of excellence at UCSB. These gifts permit enriched support for the teaching, research and service responsibilities of especially gifted faculty and provide a means of according such faculty public recognition of their distinguished status. They offer attractive incentives for recruitment and retention purposes. Endowed chairs, endowed professorships and all similar entities are governed by this policy.

B. Definition:
An endowed chair is a perquisite, supported by income from an endowed fund established by gifts.

C. Requirements for Establishing an Endowed Chair:

1. The Chancellor has authority for establishing and naming endowed chairs. No final commitment for establishing and naming a chair shall be made to a prospective donor prior to Chancellorial approval. This authority may not be redelegated.

2. The corpus of a gift consisting of cash, its equivalent, or a legally binding pledge from a donor(s) of at least $1,000,000 is required to establish an endowed chair.

   a. A pledge to establish an endowed chair shall be in such form as to constitute a legally binding commitment by the donor. Pledges to The UCSB Foundation shall be supported by a binding pledge from the latter to transfer the income to The Regents at the beginning of each fiscal year to fund the chair.

   b. Whenever possible, a pledge to fund an endowed chair shall be accompanied by partial payment, preferably at least one-third of the total, and the instrument of gift shall include a proposed payment schedule which shall not exceed a date specified at the time of Presidential approval, except in cases where there is a binding commitment to complete the funding by bequest or similar deferred gift for which there can be no predetermined termination date.

   c. If a chair is to be funded through a campaign, the recommendation for approval of the chair and the campaign shall be presented simultaneously. Approval of an endowed chair when a campaign is involved, will be contingent upon the receipt of a specified amount by the specified closing date of the campaign, with a provision for optional use of the funds raised should they fall short of the required minimum, or with a commitment from the Chancellor to make up any deficiency from unrestricted funds available to the campus.

3. The subject area of the endowed chair must be consistent with the mission of the University of California and the academic planning statement of the Santa Barbara campus. The designated field for the endowed chair is a matter of negotiation between the donor and the University. Income from the endowment will be dedicated to the academic discipline or area specified by the donor at the time of acceptance of the gift so long as that discipline or specialty remains a program within the academic plan of the campus.

4. The gift instrument shall normally permit appropriate alternative distribution of the income by the Chancellor if the subject area of the endowed chair ceases to be consistent with the University's mission or the academic planning statement of the campus. Such alternative distribution shall be as closely related to the donor's original intent as is feasible.

5. The gift instrument shall normally state that the fund administrator is given authority to add unexpended income to the original corpus.

6. Procedure for obtaining approval for the establishment of an Endowed Chair is as follows: Recommendations shall be reviewed by the appropriate Dean and forwarded to the Executive Vice Chancellor who will consult with the Academic Senate Committee on Planning and Budget regarding the appropriateness of the proposed subject area. Based on the comments of the committee, the Executive Vice Chancellor will make a recommendation to the Chancellor who has final authority for establishment of the Endowed Chair.

D. Appointments:

1. Unless otherwise indicated in the gift agreement, the term of appointment to an endowed chair will be for an initial period of five years, with subsequent terms of five years each as long as the chair holder is fulfilling the original mission and expectations of the appointment. Appointment may be for a shorter period, but may not exceed five years without review as described in D.5 below. Appointment may also be made to a series of individuals appointed successively for prescribed periods.

2. Appointment of an individual to an Endowed Chair shall be made by the Chancellor, in accordance with the normal academic review procedure for an academic appointment, including consultation with the department, college, and Committee on Academic Personnel. When a current UCSB faculty member is recommended for appointment to an Endowed Chair, the process may be modified as appropriate. For example, a department vote is not mandatory.

3. In the case of an administrative endowed chair, the administrative officer is automatically designated as the chair holder.

4. The level of appointment normally shall be equivalent to the top ranks of the professor series, but appointment at lower ranks is also possible if so stated in the gift agreement.

5. Reappointment of an individual to an Endowed Chair may be approved by the Associate Vice Chancellor for Academic Personnel, upon favorable recommendation by the Department and endorsement by the Dean. The departmental recommendation will consist of a memo that evaluates the extent to which the chair holder is fulfilling the original mission and expectations of the appointment. While a faculty vote is not mandatory, departmental consultation must take place. Should the Department or Dean recommend termination of the appointment, CAP review will be required and the Chancellor will have final authority.

6. Chairs that remain vacant for a consecutive period of five years will be subject to review by the Chancellor.

E. Provisions:

1. Endowment income may be used to support salary, or a portion of the base salary if so stated in the gift agreement, however in most cases base salary will be provided through state funding of the faculty position. Income from the endowment may also be used for supplementary salary beyond the base salary, as determined by the fund administrator, consistent with the terms of the gift and campus and University policy and procedures.

2. Endowment income made available to holders of endowed chairs shall be used to support teaching, research, and service activities of the chair holder, in accordance with the gift terms, University regulations and according to a budget recommended annually by the chair holder to the fund administrator. Consistent with the foregoing, and following consultation with the appropriate campus administrator, a chair holder may exercise the option of designating a portion of the

endowment income from the chair for use towards the academic endeavors of the Department for a prescribed period, within proper legal constraints.

3. Endowment income for an administrative chair may be used to support the teaching, research, and service activities of the department, research unit, school , or college as determined appropriate by the holder of the chair in accordance with the gift terms as well as University and campus policies and procedures.

4. The department chairperson shall act as fund administrator unless this responsibility is designated by the gift agreement to another individual.

5. The occupant of the chair, as a member of the faculty, shall be entitled to the normal support funds and services available to other faculty members within the department. Such support shall not be charged against the endowed income of the chair.

6. The occupant of the chair shall be given adequate space for his/her teaching and research program, considering normal departmental and campus space allocations.

7. The holder of an appointment to an endowed chair will be expected to carry on an appropriate teaching responsibility, and normally shall teach both graduate and undergraduate courses. The appointee shall contribute to the scholarly activity of the department in which he/she resides and, through seminars and other intellectual contact with students, add to the enrichment of the academic life of the campus as a whole.

8. The Endowed Chair will be declared vacant at the time of retirement or resignation from the Senate faculty positon, termination, or death of the chairholder.

F. Disestablishment of Chair

1. The terms of the endowment shall be reviewed from time to time to ensure that chairs and professorships meet their intended purposes.

2. The Chancellor, after consultation with General Counsel, is authorized to disestablish an endowed chair if
   a. The subject area ceases to be consistent with the University's mission or campus academic planning statement.
   b. the chair remains vacant for more than three years and the Chancellor determines there is no likelihood of filling the chair.

3. Upon disestablishment of an endowed chair the endowment income shall be redirected to the alternative purposes stated in the gift agreement or subsequent agreements between the donor and the Chancellor. If a donor is deceased and has not specified an alternative purpose, the campus shall request assistance of General Counsel in obtaining court approval for an alternative use of endowment income.

G. Reporting

1. The Chancellor shall provide the President annual reports on endowed chairs that have been unfilled in the previous year and those that have been disestablished. The reports should include the following:

   - Name of chair, fund number, entity that holds the endowment;
   - Name of donor;
   - Date established;
   - Subject area of chair;
   - Amount of endowment when fully funded; funding to date;
   - For an unfilled chair- how long the chair has been vacant; what use, if any, has been made of the income during the period.
   - For a disestablished chair- date disestablished; alternate use of funds approved by General Counsel.

III. Dickson Emeriti Professorship:

The Dickson Emeriti Professorship will be awarded to an emeriti faculty member on an annual basis for a term of one academic year. There is no limit to the number of times an individual may be appointed.

Endowment funds may be used to support recall appointments for teaching, research, or public service of an emeriti faculty member.

An annual call will be issued during Winter quarter for nominations for the next academic year. Recommendations are to be forwarded by the Department to the Executive Vice Chancellor, via the Dean. Authority to make appointments to the Dickson Emeriti Professorship will be held by the Executive Vice Chancellor. The Executive Vice Chancellor will have the discretion to make multiple appointments for any given year.

The Departmental recommendation should state the proposed use of the funds and the proposed activity's relevance to the department, unit, campus or University as a whole.

VISITING DISTINGUISHED PROFESSOR

(Revised 6/20)

The honorific title of Visiting Distinguished Professor may be used on a without salary basis. The title is reserved for use by faculty who would normally meet the standard for advancement to Professor Above Scale in the University of California. Appointment to the title will require review by the Committee on Academic Personnel and approval by the Associate Vice Chancellor for Academic Personnel. An up to date CV and departmental analysis to justify that the individual is at the equivalent status of Professor Above Scale should be submitted via the Dean's office. Reappointments may be approved by the Associate Vice Chancellor for Academic Personnel without additional review by the Committee on Academic Personnel.

If the individual is to receive salary during the term of the appointment, a separate appointment in an appropriate title such as Visiting Professor must be requested.

SENIOR FELLOW

(Revised 06/06)

Appointment as a Senior Fellow requires a record of achievement judged to be excellent in the field. A Senior Fellow may have professional achievements that may not be measurable in terms of traditional academic measures but would nevertheless be judged to be exceptional by appropriate professional standards. A Senior Fellow's main affiliation is outside the University.

Senior Fellows engage in and contribute in an identifiable way to the education, research or outreach mission of the University. This title recognizes time spent in interaction with the faculty, researchers, students, and staff.

Appointments are made on a without salary basis for a period of one to three years following review by the department or unit, endorsement of the Dean, and approval of the Associate Vice Chancellor for Academic Personnel. To request an initial appointment, the following documents must be submitted via the Dean's office:

- Departmental recommendation letter
- Updated Curriculum Vitae
- UCSB Biography form

To request a reappointment, a departmental recommendation letter that includes a review of the candidate's accomplishments during the current appointment and an updated Curriculum Vitae are to be submitted to the Dean. Approval authority for reappointments will be by the Associate Vice Chancellor for Academic Personnel, following endorsement by the Dean.

SECTION IX: POLICIES ON ACCESS AND CONDUCT

GUIDELINES FOR ACCESS TO UNIVERSITY PERSONNEL RECORDS BY GOVERNMENTAL AGENCIES

(Revised October, 1995)

(administrative updates as of 10/10)

The following University of California guidelines and procedures for Access to University Personnel Records by Governmental Agencies were issued in 1987 by then Acting Vice Chancellor, Robert S. Michaelsen.

All governmental agency requests regarding access to academic and staff personnel records about a university employee classified as (1) "confidential academic review records" (peer review records), (2) "confidential records", (3) "personal records", or (4) "non-personal records" are to be directed to the Office of The Executive Vice Chancellor. The policy covers:

1. Academic Records

Campus responses to governmental agency requests to access to academic personnel records subject to Academic Personnel Policy section 160, for any purpose will be coordinated by the offices of the Associate Vice Chancellor, Academic Personnel, the Director, Equal Opportunity, and Business Services.

2 Staff Records

Campus responses to governmental agency requests to access staff records are subject to Staff Personnel Policy 605. Responses will be coordinated by the Director of Human Resources, Director, Equal Opportunity, and Business Services.

As appropriate, the offices of General Counsel will be consulted regarding questions of a governmental agency's statutory right of review, of relevancy, and for interpretation of the attached guidelines.

Reviews

Once the campus has determined that under University guidelines the particular governmental agency is entitled to review academic and staff personnel records subject to our academic and staff personnel policies, the campus will provide a central location for review of these files. Throughout the review, a campus official will be present to insure the appropriate accounting of records under review.

In regard to files that may be copied by a governmental agency representative subject to these guidelines, the Executive Vice Chancellor's office will number each file and record the number of pages. The governmental agency representative will sign a form indicating the pages they wish to copy. Each page copied will be stamped noting that it is subject to the specific agreement between the University of California and the governmental agency.

GUIDELINES FOR ACCESS TO UNIVERSITY PERSONNEL RECORDS
BY GOVERNMENTAL AGENCIES

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Appendix A Academic Personnel Manual Section 160-20-b(1)

Appendix B Disclosure Agreement with the California Department of Fair Employment and Housing

Appendix C Business and Finance Bulletin RMP-8, "Legal Requirements on Privacy of and Access to Information," Section VII.B.1, Definition of Confidential Information.

GUIDELINES FOR ACCESS TO UNIVERSITY PERSONNEL RECORDS BY GOVERNMENTAL AGENCIES

I. Introduction.

All University records about individuals are classified as (1) "confidential academic review records" (peer review records), (2)"confidential records," (3) "personal records," or (4) "non-personal records." Access rights by individuals and entities vary according to the type of record. Comprehensive requirements for access to all types of University records are contained in Business and Finance Bulletin RMP-8, "Legal Requirements on Privacy of, and Access to Information." The purpose of these guidelines is to supplement that document by specifying the rights of Federal, state, and local government officials to access the four categories of University personnel records. Included in these guidelines are the provisions of the two legal agreements between the University and the U.S. Department of Labor (DOL), and the State of California Department of Fair Employment and Housing (DFEH) pertaining to access to confidential academic review (peer review records) during investigations of discrimination complaints or compliance reviews.

For additional information on access to, and the privacy of personnel information refer to:

Business and Finance Bulletin RMP-8, "Legal Requirements on Privacy of and Access to Information," dated December 10, 1985;

Academic Personnel Manual Section 160, "Maintenance of, Access to, and Opportunity to Request Amendment of Academic Personnel Records," revised August 1, 1992;[1] and

Staff Personnel Policy 605, "Staff Personnel Records," dated December 1, 1990.[2]

II. Access by Governmental Agencies to Confidential Academic Review (Peer Review) Records.

This section does not apply to access to peer review records by the U.S. Department of Labor (DOL) or the State of California Department of Fair Employment and Housing (DFEH) relating to complaints of discrimination or compliance reviews. See Sections III and IV.

If a representative of a governmental agency other than DOL or DFEH requests access to material in University personnel records which includes items that are "confidential academic review records" (peer review records) pursuant to Academic Personnel Manual Section 160-20-b(1) (Appendix A), such request must be in writing. In response to the written request, the requester should be informed that:

> The University of California is in full support of (name of agency)'s need and duty to acquire information pertinent to carrying out its functions. University policies concerning confidential academic peer review records, however, specify that such records are confidential documents. This designation of confidentiality is essential to the University's academic personnel process to secure candid evaluations of individuals under review. The University provides safeguards

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[1] All references to this policy apply to academic personnel except as otherwise provided by a Memorandum of Understanding.

[2] Staff Personnel Policy 605 does not apply to staff employees covered by a Memorandum of Understanding.

in the review process to assure that the confidentiality does not cloak unfairness to individuals or result in abuse.

With respect to academic peer review personnel records, our policies take into account the need to protect individual rights of privacy. Furthermore, our academic personnel policies provide that subject individuals may receive, on request, a redacted copy of the substance of the confidential documents in their files, edited to withhold disclosure of the identity of persons who have supplied evaluations of the subject individuals with the understanding that the identity of the evaluator will be held in confidence.

In light of the above policies, and provided that your agency has a statutory right to review these records and shall maintain their confidentiality, the University is prepared to make available for your authorized representative on-site review of academic personnel files relevant to your review.

In applying the general policies regarding use of confidential academic documents in the personnel process, and in order to balance the need to protect the confidentiality of certain records against the legitimate needs of access by governmental agencies, you should abide by the following guidelines dealing with representatives of government agencies who have requested material from peer review records:

1. You should allow the governmental agent to view on-site the complete files which are relevant to the governmental review, but only after the names of evaluators and any identifying particulars have been removed.

2. If the governmental agent asks to remove copies of, or make and remove notes about peer review documents from the physical custody of your campus or Laboratory, the following officers should be consulted prior to response:

   a. the Senior Vice President--Academic Affairs, and

   b. General Counsel.

III. Access by the U.S. Department of Labor to Confidential Academic Review (Peer Review) Records Relating to Complaints of Discrimination or to Compliance Reviews as Required by Consent Decree.[3]

If a representative of the Department of Labor, Office of Federal Contract Compliance Programs (OFCCP), requests access to material in University records which includes items the University characterizes as confidential pursuant to Academic Personnel Manual Section 160-20-b(1) (academic peer review records), the following procedures, as set forth in the Consent Decree, should be followed:

1. The University shall provide OFCCP access for inspection and copying of such books, records, accounts, and other materials which OFCCP determines to be relevant and necessary whenever it is reviewing the University's compliance with Executive Order 11246, as amended, and the rules, regulations, and orders issued pursuant thereto (hereinafter Executive Order 11246 or the Executive Order). The University shall allow OFCCP to remove copies of said books, records, accounts, other materials, and notes from off campus or from any other place at which they are maintained.[4]

2. OFCCP will remove copies of books, records, accounts, and other University materials off campus where it concludes that said materials are necessary to its Executive Order review. However, where such books, records, accounts, or other materials concern the following, and are

[3] An agreement between the University of California and the U.S. Department of Labor dated October 3, 1980 pertaining to the latter's access to University academic peer review records. The full text of the Consent Decree is available from the Office of the General Counsel

[4] However, nothing in this Consent Decree shall be deemed to in any way limit the University's right under 41 CFR 60-60.4(c) (or its successor) to question the relevancy of documents removed off campus or from any other place in which they are maintained, and to seek their return, thereunder.

and have been maintained in confidence by the University, prior to making copies, the OFCCP investigator (EOS) will justify his/her decision to the appropriate OFCCP Area Office Director:

a. Letters of evaluation or other statements pertaining to any individual received by the University in the academic peer review process with the understanding that the letter or statement will be held in confidence;

b. Letters from the chairperson (or equivalent officer) in the academic peer review process setting forth a departmental recommendation; and,

c. Reports, recommendations, and other related documents from administrative officers and campus ad hoc and standing committee in the academic peer review process concerning evaluations of individuals.

Only if the Area Office Director concurs, will copies of any of the above-listed documents be taken off campus or removed from any other place where they are retained by the University. If the Area Office Director concurs, the University shall be notified by the Area Office Director of the documents to be copied and removed. Copies will then be taken off campus, or from other locations where they are maintained by the University, in accordance with OFCCP's Executive Order compliance assessment needs.

4. Where OFCCP takes copies of any of the documents listed in paragraph 2, a-c, above, off campus or from other locations where they are maintained by the University, all copies of such documents (which have not been entered as hearing or trial exhibits) shall be returned to the University within a reason able period of time after completion, as determined by the Department of Labor, of a compliance review, complaint investigation, other investigation, or administrative or judicial enforcement proceedings.[5] The University will then maintain said copies for at least ten (10) years unless the parties mutually agree on a shorter period of retention, and will provide them to OFCCP whenever it requests them. When such documents are provided, OFCCP shall maintain and return them in accordance with this Consent Decree."

IV. Access by the State of California Department of Fair Employment and Housing to Confidential Academic Review (Peer Review) Records Relating to Complaints of Discrimination as Required by Disclosure Agreement.

If a representative of DFEH requests access to material in University academic peer review personnel records which includes items the University characterizes as confidential pursuant to Academic Personnel Manual Section 160-20-b(1), the procedures set forth in the Disclosure Agreement (Appendix B) should be followed. This agreement concerns disclosure of University records when DFEH is investigating charges of employment discrimination, and details the specific steps to be followed when releasing all types of academic personnel records, including
comprehensive summaries of confidential academic review records and actual review records.

V. Access by Governmental Agencies to Academic, Staff, and Other Employee Personnel Records Designated as Confidential (other than Confidential Academic or Peer Review Records).

Business and Finance Bulletin RMP-8, "Legal Requirements on Privacy of and Access to Information," Section VII.B.1. provides a complete definition of confidential information which includes, but is not limited by law to, medical, psychological, and investigative information about an individual. See Appendix C. Academic Personnel Manual Section 160-20-b(2) similarly defines confidential information and clarifies that such academic personnel information is generally not part of the peer review file, but is

[5] The term "completion" includes, but is not limited to, Departmental reviews of such reviews, investigations, or proceedings.

occasionally maintained by the University. Business and Finance Bulletin RMP-8 provides the definition of confidential information for all staff employees.

If a representative of a governmental agency requests access to confidential academic, staff, or other employee personnel information, such request must be in written form and the information should be made available only if the governmental agency has a legal right to such access. Because of the sensitivity of confidential information and the University's policy of protecting individual rights of privacy, the requester should be informed that:

> The University of California is in full support of (name of agency)'s need and duty to acquire information pertinent to carrying out its functions. Our personnel policies specify, however, that certain materials in personnel records are confidential documents, and take into account the rights of access of third parties, as well as the need to protect individual rights of privacy.
>
> In light of these policies and in conformance with the law, the University is prepared to make available for your authorized representative on-site review of confidential personnel files relevant to your review, provided that your agency has a statutory right to review these records and shall maintain their confidentiality.

VI. Access by Governmental Agencies to Academic, Staff, and Other Employee Personnel Records Designated as Non-personal or Personal.

The preceding guidelines have dealt with access to confidential academic review (peer review) records, and the separately defined confidential information about academic, staff, and other employees. Following are guidelines for governmental access to that personnel information which the University considers non-personal or personal in nature.

Business and Finance Bulletin RMP-8, Section VII.B.3, Academic Personnel Manual Section 160-20-b(4) and Staff Personnel Policy 605.18 specify those types of personnel information which the University considers to be non-personal, such as the individual's name, the date of hire, the current position title, the current rate of pay, the organizational unit assignment (including office address and telephone number), and the current job description. These types of records are public records and are available to governmental agencies upon request.

Personal information is defined in Business and Finance Bulletin RMP-8, Section VII.B.4, Academic Personnel Manual Section 160-20-b(5), and Staff Personnel Policy 605.19, as that information which is not confidential (Section V above and Appendix C) or non-personal, and the disclosure of which would constitute an unwarranted invasion of personal privacy of the individual. Examples of the most common types of personal information are included in the referenced section of Business and Finance Bulletin RMP-8. If a representative of a governmental agency requests access to personal information about any employee, it will be made available only if the governmental agency has a statutory right to such access, or if the individual to whom the information pertains has authorized release (Business and Finance Bulletin RMP-8, Section VII.G.3., Academic Personnel Manual Section 160-20-d(4), Staff Personnel Policy 605.22). The governmental agency should agree to not release personal information obtained from the University except to the subject of the information or to authorized individuals.

The Faculty Code of Conduct (Part II.D.3.) as approved by the Assembly of the Academic Senate and incorporated into the official document, "University Policy on Faculty Conduct and the Administration of Discipline," initially adopted by The Regents in June 1974, and subsequently amended, specifies that among types of unacceptable faculty conduct is "breach of established rules governing confidentiality in personnel procedures." This part of the Faculty Code recognizes the importance of the right to privacy of an individual undergoing a personnel review and of the right to privacy of persons who furnish, in confidence, evaluations of individuals under review.

b. **Definition of Types of Records and Information Maintained by the University about Academic Employees**

(1) "Confidential academic review records" are:

(a) A letter of evaluation or other statement pertaining to an individual received by the University with the understanding that the identity of the author of the letter or statement will be held in confidence to the extent permissible by law.

(b) A letter from the chairperson (or equivalent officer) setting forth a personal recommendation in connection with an academic personnel action concerning the individual, such as appointment, promotion, merit increase, appraisal, reappointment, non-reappointment, or terminal appointment.

(c) Reports, recommendations, and other related documents from campus and departmental *ad hoc* committees concerning evaluations of the individual under applicable University criteria in connection with an academic personnel action, such as appointment, promotion, merit increase, appraisal, reappointment, non-reappointment, or terminal appointment.

(d) Information placed in the review file by a department chair that provides reference to the scholarly credentials of individuals who have submitted letters of evaluation or their relationship to the candidate.

APPENDIX B

August 20, 1984

DISCLOSURE AGREEMENT

A. The California Department of Fair Employment and Housing (hereinafter "DFEH") is responsible for investigating charges of employment discrimination filed with the Department. In the course of investigating such charges, DFEH often asks to inspect or obtain copies of certain information pertaining to the complainant in the custody of an affected employer in order to determine if there is merit to the charge. When investigating a charge brought against the University of California (hereinafter "University"), DFEH at times desires to inspect and copy personnel records which include academic review records for University academic employees or candidates. These academic review records are deemed confidential by the University. These academic review records are those listed in Academic Personnel Manual section 160-20(b)-1 (Rev. 8/1/92). (Appendix A of this Agreement.) Both parties recognize that in conducting its investigation DFEH has the legal right of access to University records, subject to certain legal limitations and restrictions. This Agreement sets forth the parties' understanding regarding DFEH's access to such records.

The University recognizes that DFEH has a statutory obligation to complete its investigation within one year of the date the complaint is filed. DFEH recognizes that the University needs sufficient advance notice in order to prepare certain documents for discovery pursuant to the terms of this Agreement. Therefore, the parties to this Agreement agree to the timetables specified as a general guide. These timetables shall not preclude earlier compliance or different timetables agreed upon between the parties in any individual case.

B. Access to Records.

B-1. Whenever DFEH investigates a charge of discrimination brought by an academic employee or candidate about whom the University maintains academic personnel records which are confidential pursuant to University policy, DFEH may review all relevant existing University personnel records of the charging party which are not confidential academic review records. If a redacted copy of confidential academic review records exists, the redacted copies shall be included in the records reviewed. DFEH may also request copies of the records pursuant to Section D-1 of this Agreement without prior on-site review.

B-2. If DFEH then determines that access to relevant existing University personnel records of non-charging parties which are not confidential academic review records is necessary for the conduct of the investigation for purposes of comparison, DFEH shall explain in writing the basis for its request to the Academic Vice Chancellor of the affected campus. The University will afford DFEH the opportunity to inspect those records on- site within twenty (20) days of receipt of the written request of DFEH. If redacted copies of

confidential academic review records exist, the redacted copies shall be included in the records reviewed.

B-3. If after review of records under B-l or D-l of this Agreement DFEH determines that access to the academic review records of the charging party which are deemed confidential by the University is necessary for the conduct of the investigation, DFEH shall explain in writing the basis for its request to the Academic Vice Chancellor of the affected campus. In response to such a request, if the University has previously provided DFEH with the comprehensive summary of the charging party under D-l, the University shall allow DFEH to review the originals confidential academic review records, or copies thereof, with the names and identifying particulars of reviewers deleted, on site in order to authenticate the accuracy of the summaries within twenty (20) days of DFEH's request.

If a redacted copy of confidential academic review records for the charging party does not exist or does not cover confidential academic review records applicable to the period of the complaint, the University shall first prepare and provide DFEH with redacted copies of the requested records, setting forth the substance of those records, except for information which would reveal the sources of the records and as specified in Academic Personnel Manual section 160-20-b(1) (Rev. 8/1/92). (Appendix A of this Agreement.) The University shall not consider such redacted copy confidential. DFEH agrees to allow the University up to four (4) weeks from the written request. to prepare the redacted copies of the requested records of the charging party.

If DFEH then requests, the University shall allow DFEH an opportunity to review the original confidential academic review records, or copies thereof, with names and identifying particulars of reviewers deleted, on site in order to authenticate the accuracy of the redacted copies upon twenty (20) days notice by DFEH of its request for said review.

B-4. If after review of records under B-2 or D-2 of this Agreement DFEH determines that access to the academic review records on non-charging parties which are deemed confidential by the University is necessary for the conduct of DFEH's investigation for purposes of comparison, the DFEH consultant shall notify his/her District or Regional Administrator and the Academic Vice Chancellor of the affected campus. The District or Regional Administrator of the DFEH office involved shall explain in writing, to the Academic Vice Chancellor the basis for the request and that access is in conformity with DFEH criteria used by consultants in such investigations.

In response to such a request, the University, if redacted copies of confidential academic review records for comparable non-charging parties do not exist or do not cover confidential review records applicable to the period of the complaint, shall first prepare and provide DFEH with redacted copies of the requested records, setting forth the substance of those records, except for information which would reveal the sources of the records and as specified in Academic Personnel Manual section 160-20-b-2 (Rev. 8/1/92). (Appendix A of this Agreement.) The University shall not consider such summaries confidential as to the party to whom the summary pertains. DFEH agrees to allow the University up to eight (8) weeks from the written explanation by the District or Regional Administrator of the DFEH office involved to prepare the comprehensive summaries of the requested records of the comparable non-charging parties.

If DFEH then requests, the University shall provide DFEH with an opportunity to review the original confidential academic review records, or copies thereof, with names and identifying particulars of reviewers deleted, on site in order to authenticate the accuracy of the summaries upon twenty (20) days notice by DFEH of its request for said review.

B-5. If after review of records under B-3 or B-4 of this Agreement DFEH then determines that information about reviewers is necessary for the conduct of its investigation, the District or Regional Administrator shall state in writing its need for the information. Within ten (10) days of receipt of DFEH's statement of need the Academic Vice Chancellor or designee shall consult with DFEH. Within five (5) working days of the consultation, the University will provide the information requested about, but not the names of, reviewers (e.g., gender, ethnicity, discipline). Nothing in this paragraph shall be interpreted to prevent DFEH and University from modifying the scope of the original request by agreement during the required consultation.

B-6. Finally, if the District or Regional Administrator of the DFEH office involved provides a written statement why access to the academic review records in unredacted form is necessary to the investigation and, that the result is in conformity with DFEH criteria used by consultants in such investigations, the Academic Vice Chancellor or designee shall consult with the District or Regional Administrator within ten (10) days of receipt of DFEH's statement. Within five (5) working days of the consultation, the University will afford DFEH the opportunity to review the original confidential academic review records in unredacted form on site. Nothing in this paragraph shall be interpreted to prevent DFEH and University from modifying the scope of the original request by agreement during the consultation.

The University reserves the right to raise legal objections to DFEH's request to review the documents specified in paragraph B-6 on the grounds that the information requested is not reasonably relevant to the matter under investigation or on such other bases as might be available under applicable law. Written notice of refusal to provide access to any part of the documents specified in B-6 shall be provided by the University to DFEH within five (5) working days of the consultation specified above, setting forth the reasons for such refusal.

C. Notes. The DFEH consultant shall be permitted to take notes of conversations as well as documents reviewed at the on-site review. In the event that the consultant takes notes, such notes will be regarded as information obtained under a promise of confidentiality, pursuant to the provisions of paragraph B-1 of this Agreement.

D. Removal of Copies of Records.

D-l. The University shall provide copies of all relevant existing University personnel records of the charging party which are not confidential academic review records within ten (10) days of DFEH's request. If a redacted copy of confidential academic review records exists at the time of DFEH's request, it shall be included in the copies of records provided to DFEH. If a redacted copy is prepared by the University pursuant to paragraph B-3 of this Agreement, the University shall provide the redacted copy immediately upon completion of the redaction.

D-2. If DFEH determines that copies of existing University personnel records of non-charging parties which are not confidential academic review records are necessary for the conduct of the investigation for purposes of comparison subsequent to DFEH's review of those records on site pursuant to paragraph B-2 of this Agreement, DFEH shall explain in writing the basis for its request to the Academic Vice Chancellor of the affected campus. The University will provide the requested records within ten (10) days of DFEH's request. If redacted copies of confidential academic review records exist at the time of DFEH's request, they shall be included in the copies of records provided to DFEH. If redacted copies are prepared by the University pursuant to paragraph B-4 of the Agreement, the University shall provide the redacted copies immediately upon completion of the redaction.

D-3. If DFEH determines that removal of copies of confidential academic review records relating to the charging party or to non-charging parties which have been reviewed pursuant to paragraphs B-3 and B-4 of this Agreement is necessary to the conduct of its investigation, the District or Regional Administrator shall provide a written statement to the University why removal of copies is necessary to the conduct of the investigation. Within ten (10) days of receipt of DFEH's statement, the Vice Chancellor or his designee shall consult with the District or Regional Administrator. Nothing in this paragraph shall be interpreted to prevent DFEH and University from modifying the scope of the original request by agreement during the required consultation.

If the District or Regional Administrator so consults and affirms the need, the University agrees to provide copies of the requested records of the charging party and comparable non-charging parties as redacted pursuant to paragraphs B-3 and B-4 of this Agreement within five (5) working days.

If the case is forwarded to the DFEH Legal Unit for review for accusation, the University agrees to provide copies of the unredacted records requested within five (5) working days.

D-4. DFEH agrees to the following security measures for copies of records provided pursuant to section D-3:

a. Copies provided by the University will not be duplicated in any form. DFEH will maintain only the copy provided by the University.

b. All copies provided by the University will be maintained in a segregated, locked file.

c. Only consultants, attorneys, and DFEH employees or agents with a specific need to know shall have access to the copies of records provided pursuant to this section.

E. The sequence of access to inspection and/or removal of the academic review records, as described above in sections B, C and D, may be modified in any individual case upon agreement of both parties to this Agreement.

F. Pursuant to this Agreement, the parties hereto shall abide by the following conditions:

F-l. DFEH shall regard the notes taken by any DFEH consultant during the course of a review concerning academic review records and information deemed confidential by the University as well as any conversations concerning those records and information and/or any notes

taken about academic review records and information deemed confidential by the University and provided to DFEH to be provided under a promise of confidentiality, and such records, information and notes shall be deemed to be received by DFEH as confidential pursuant to, but not limited to, Government Code section 12932, subdivision. (b) and DFEH Field Operations Directive No. 38 (6/16/83).

F-2. DFEH shall not release or otherwise disclose records and information provided under a promise of confidentiality or any notes or records relating to such records and information or to conversations concerning such records and information to any person or party requesting to inspect or copy such, except as follows. DFEH agrees that all records, information, and notes or copies thereof obtained pursuant to this Agreement with a promise of confidentiality and/or deemed confidential by the University and provided to DFEH and which are maintained by DFEH during an investigation are "confidential" as defined by Civil Code section 1798.3, subdivision (a)(4) and are therefore not disclosable to the complainant or third parties during a pending investigation, unless DFEH is ordered to do so by a court of competent jurisdiction. DFEH agrees not to disclose any University academic review information received by DFEH and provided under a promise of confidentiality or notes about such information or notes about conversations concerning such information that remain in DFEH's possession except under the terms of Civil Code section 1798.38. In response to a request for confidential academic review information by the subject of that information, DFEH will provide only the redacted copies concerning the subject provided to DFEH pursuant to the terms of this Agreement, unless DFEH is ordered to do so by a court of competent jurisdiction.

F-3. If DFEH officially ends the investigation of any complaint filed against the University without issuing an accusation, DFEH shall forthwith return to the University all records containing personal and confidential information about all parties including notes relating to said records and information received by DFEH for purposes of its investigation of said complaint pursuant to the terms of this

Agreement as well as any copies thereof. The University agrees to retain such records and notes for a period of seven (7) years after return.

F-4. If DFEH determines that an accusation is warranted, DFEH may, notwithstanding the foregoing provisions, use records designated here under as confidential, as well as the matter contained therein, in the accusation and subsequent prosecutor of the case. Prior to introducing any of such records into evidence before the Fair Employment and Housing Commission, DFEH shall provide the University with the opportunity to seek a protective order from the Commission. If the Commission denies the protective order, the University shall retain its right to seek a protective order from the appropriate court of law.

F-5. DFEH agrees to give the University adequate notice of any subpoena or deposition of a confidential reviewer whose name was revealed pursuant to section B-6 of this Agreement to enable the University to seek a protective order.

G. Any discovery. issues not specifically covered by the terms of this Agreement are outside the purview of this Agreement.

H. This Agreement is binding on the whole University system and all employees and agents of DFEH.

Original document signed by Mark Guerra, Director, DFEH and James S. Albertson, Associate Vice President Academic Affairs.

Section VII.B. (cont)

1. Confidential Information

Recent amendments to the Information Practices Act delete the term confidential information from Section 1798.3 but retain the limited access rights provided to information previously so defined by addition of a new Section 1798.40. Section 1798.40 provides that an agency is not required to disclose information to the individual to whom the information pertains if certain criteria are satisfied. The criteria listed correspond to those previously used to define the term confidential information. Thus, although the term has been eliminated from the Act, no substantive change has been effected regarding disclosure or access rights. The University will continue to use the term confidential information to mean any information which meets any of the following criteria:

1798.40 (a - c) a. Is compiled for the purpose of investigation of suspected criminal activities or identification of individual criminal offenders or alleged offenders.

1798.40 (d) b. Is maintained for the purpose of an investigation of an individual's fitness for University employment, or of a grievance or complaint, or a suspected civil offense, so long as the information is withheld only so as not to compromise the investigation or a related investigation. The identities of individuals who provided information for the investigation may be withheld pursuant to Section 1798.38. (See Section VII.H.1.)

1798.40 (e) c. Would compromise the objectivity or fairness of competitive examination for appointment or promotion in University service, or is used to determine scholastic aptitude.

1798.40 (f) d. Pertains to the physical or psychological condition of the individual, if the University determines that disclosure would be detrimental to the individual. The information shall be disclosed upon the individual's written authorization to a licensed medical practitioner or psychologist designated by the individual.

IX -11

EMPLOYMENT OF NEAR RELATIVES

(Revised 10/10)

APM 520 contains the University policy regarding employment of near relatives. Approval of employment of near relatives as defined by APM 520-4, within the same department requires the approval of the Chancellor or Chancellor's designee. Similarly, approval is required if two appointees already holding such positions subsequently become near relatives.

Faculty members may not participate in the review or decision- making on any personnel action of a near relative.

INFORMATION PRACTICES GUIDELINES

(Revised 10/10)

This directive establishes certain guidelines for implementation of Section 160 and portions of Section 220-80 of the Academic Personnel Manual, and also of certain provisions of the Information Practices Act of 1977.

Section 160 does not open personnel files to the candidate. Rather it allows individuals access to non-confidential material in their files, under specified conditions. It serves as a mechanism for providing summaries of confidential material while maintaining the confidentiality of the review process. Please refer to Section 160-20b(1) for a definition of "confidential" documents. The University maintains that the Manual is consonant with the provisions of the law.

I. Responsibility

Chairpersons are responsible for properly processing most personnel actions concerning faculty members (APM 220-80 b). They should be sure to follow the APM and the steps outlined in the "Chairperson's Checklist for Academic Advancement" (Red Binder, I-22). Before the departmental recommendation is determined, the Chair must provide the candidate the opportunity to review all non-confidential documents in the review file and must provide, upon request a redacted copy of the confidential material in the file. Redaction of a letter of evaluation is defined as removal of the name, title, organizational/institutional affiliation, and relational information contained below the signature block.

If significant new information is to be added to the personnel review file after it has been forwarded to the office of the appropriate Dean, the candidate should be informed of it (or the substance of it, if confidential) and be given an opportunity to comment on the information. Any written comment should be forwarded to the office of the appropriate Dean. This procedure is specifically required (APM 220-80 h) in the case of information requested by reviewing agencies.

Section 220-80 i states that after the final administrative decision has been communicated to the candidate, the candidate shall have the right, upon written request, to receive from the Chancellor a written statement of the reasons for the decision, including a copy of non-confidential documents and a redacted copy of the confidential academic review records (APM- 160-20 b(1)). Redaction of ad hoc committee reports will consist of the removal of the names of individual members of the committee. Dean's comments, CAP reports and any correspondence between these agencies and the Associate Vice Chancellor for Academic Personnel (or designee) will be provided in their entirety.

The Associate Vice Chancellor for Academic Personnel will, upon written request, provide the copies of non-confidential documents and redacted copy of the confidential academic review records to the candidate. A copy of documents given to the candidate is retained in the personnel file of the candidate in the Office of Academic Personnel, but it is not used in any subsequent personnel reviews, nor is it considered to be part of the review process. A candidate may elect to have the documents introduced into his/her personnel file, but he/she must notify the Associate Vice Chancellor, Academic Personnel of that in writing. If the documents are so introduced, they then become part of the review file.

The Office of Academic Personnel is the office of record for all requests for copies and redactions of confidential documents pertaining to final personnel actions. Such copies and redactions will not be issued by other offices.

II. Access to Non-confidential Documents

A. Academic appointees shall have the opportunity at reasonable times to inspect all documents concerning themselves, other than confidential documents, in any of the academic personnel records maintained within the department, in the dean's office or in the Office of Academic Personnel. This includes the right to receive the first copy of such material free and subsequent copies at reasonable cost.

B. All persons who wish to inspect the non-confidential portions of their files in the deans' office or the Office of Academic Personnel should apply in writing to the Associate Vice Chancellor, Academic Personnel.

C. Faculty members also have the right to inspect the non-confidential portions of their files in the

departmental offices at reasonable times. (Note: Departments are urged for the convenience of the department and the individual, to maintain two files--one for the confidential materials and one for non-confidential materials.)

III. Request for redacted copies of Confidential Materials (Under APM 160-20 c (1) and (2); and IPA 1798-38)

A. Requests for redacted copies of confidential materials (including reviewing agency reports and correspondence) on personnel actions should be addressed to the Office of Academic Personnel in writing.

B. Departments provide redacted copies of letters of evaluation prior to determination of the departmental recommendation.

IV. Application of Regulations and Laws

The Information Practices Act applies to all non-student personnel actions. In general, this means that Sections II, 111A, IV and VI of these guidelines apply to all such procedures. Other provisions apply only to those academic personnel series listed in APM 160-20 c (4).

V. Corrections, Deletions and Statements

The Academic Personnel Manual (160-30) and the Information Practices Act (1798.35 to 1798.37) provide rather similar rights and procedures for the correction of the personnel records on request of the individual who is the subject of the records, or for the addition to the file of a statement by that individual.

In the case of information that exists solely in a departmental file, the Chairperson may receive requests for changes and act upon them and may insert into the file statements by the candidate commenting upon the file.

In the case of information that exists in the files of Academic Personnel, or of a Dean, requests for changes or the insertion of statements will be addressed to the Associate Vice Chancellor, Academic Personnel, and will normally be forwarded via the Chairperson, who may comment upon them. Before changes are made by the Associate Vice Chancellor, upon formal request of the individual, the Committee on Academic Personnel will be consulted.

VI. Inspection of Personnel Records by Third Parties

The general rule is that persons (other than the subject of the records) or agencies shall not have access to academic personnel records pertaining to an individual, and shall not be furnished information from such records, without the written consent of the individual. There are exceptions to this general rule, as, for instance, in the case of a subpoena.

Chairpersons may release the following information to the indicated persons upon request:

A. University employees may have access to the personnel records of individuals to the extent that such access is needed to perform their officially assigned University duties, provided that such access is related to the purpose for which the information was acquired.

B. Members of the public may be informed of:

1. The employee's date of hire
2. The current job title
3. The current rate of pay of the job title
4. Organizational unit assignment (e.g., department)
5. Current job description
6. Campus address
7. Campus telephone number

C. A campus telephone book or directory.

All other requests for information concerning individual academic employees (not listed in B and C above)

should be referred to the Office of Academic Personnel.

APPENDIX A

The following is the policy for material collected prior to September 1, 1992.

Section 220-80i provides that "After the final administrative decision has been communicated to the candidate, the candidate shall have the right, upon written request, to receive from the Chancellor...a written statement of reasons for that decision..."

In accordance with APM 220-80i, drafts of all such written summaries are submitted to the Committee on Academic Personnel for review and comment before being sent to the candidate. The final draft of the comprehensive summary, however, is sent only to the candidate, since it is considered to be part of the review process. A candidate may elect to have the summary letter introduced into his/her personnel file, but he/she must notify the Associate Vice Chancellor, Academic Personnel of that in writing. If the summary letter is so introduced, it then becomes part of the review file.

The Office of Academic Personnel is the office of record for all requests for summaries of confidential documents pertaining to final personnel actions. Such summaries will not be issued by other offices.

II. Access to Non-confidential Documents

A. Academic appointees shall have the opportunity at reasonable times to inspect all documents concerning themselves, other than confidential documents, in any of the academic personnel records maintained within the department, in the Dean's office or in the Office of Academic Personnel.

B. All persons who wish to inspect the non-confidential portions of their files in the Dean's office or in the Office of Academic Personnel should apply in writing to the Associate Vice Chancellor for Academic Personnel.

C. Faculty members also have the right to inspect the non-confidential portions of their files in the departmental offices at reasonable times (Note: Departments are urged for the convenience of the department and the individual, to maintain two files--one for the confidential materials and one for non-confidential materials).

III. Request for Summaries of Confidential Materials
(Under APM 160-20c (1) (2); and IPA 1798-38)

A. Requests for summaries of confidential materials on personnel actions should be addressed to the Office of Academic Personnel, in writing if a written summary is desired, except that certain summaries are to be provided to individuals by the chairperson as noted in the "Chairperson's Checklist for Academic Advancement," and APM 220-d, e, and h and also 220-84b.

B. In accordance with APM 220-80i, drafts of all such written summaries provided by the Associate Vice Chancellor, Academic Personnel will be submitted to the Committee on Academic Personnel for review and comment.

ACCESS POLICY FOR MATERIALS IN ACADEMIC PERSONNEL REVIEW RECORDS

(Revised 10/10)

SOURCE OF MATERIAL	RELEASE POLICY PRIOR TO SEPT. 1992	RELEASE POLICY EFFECTIVE SEPT. 1992
Letters of Evaluation	Summary	Redaction[3]
Coded List of Referees	No Release	No Release
Department Ad Hoc Reports[1]	Summary	Redaction[3]
Department letter	Summary	Full release[3]
Other Department Documentation[1]	Summary	Full Release[3]
Chair's separate Letter	Summary	Redaction
Dean/Provost recommendation	Summary	Full release
Senate ad hoc committee report	Summary	Redaction
CAP recommendation	Summary	Full release
Other administrative recommendations[2]	No release	Full release

1. Materials submitted with the case for review, or referred to in the case.

2. e.g., Chancellor's letter to the President on Above Scale cases.

3. Provided to candidate by department, on request.

IX-18

Academic Personnel Records Retention

(Revised 11/16)

The following guidelines are based on the University of California Records Disposition Schedule, available on-line at http://www.policy.ucsb.edu/information/rec-mgmt/

The Academic Personnel Office is the office of record for personnel files of all academic employees other than the following:

Series	Office of record
Librarians	Library
Teaching Assistants, Readers, Graduate Student Researchers	Department*

*Employment files and student academic files should be maintained separately.

I. Retention of files

Documents are to be maintained as follows:

Personnel files*:

Senate faculty: Academic Personnel maintains files for Senate faculty indefinitely. If a Department or College is keeping a secondary file, that file must be maintained until the employee separates from the University.

Non-Senate Academics: Academic Personnel, as the office of record, maintains files for 5 years after separation. Departments must retain files until the employee separates from the University.

*Items that are stored electronically in AP Folio and are accessible to the department or college do not need to be separately maintained in the department or college.

Applicant files

UC Recruit is the file of record for applicant files. Departments do not need to maintain hard copy of applicant files.

Faculty appointment cases that are put forward for review, but are ultimately unsuccessful recruitments will be maintained by Academic Personnel for 3 years.

Teaching evaluations (student comments and ESCIs) are to be maintained for the longer of:

1) until used in a review file, or
2) as long as a need is present

II. Equal Opportunity/Affirmative Action Obligations

The United States Department of Labor sets forth specific obligations as an equal opportunity/affirmative action employer. In general, any personnel or employment record must be kept a period of not less than three years from the date of the making of the record or personnel action involved, whichever occurs later. Such records include, but are not necessarily limited to, records pertaining to hiring, assignment, promotion, demotion, transfer, lay off or termination, rates of pay or other terms of compensation, and selection for training or apprenticeship, and other records having to do with requests for reasonable accommodation, the results of any physical examination, job advertisements and postings, applications and resumes, tests and test results, and interview notes. In the case of involuntary termination of an employee, the personnel records of the individual shall be kept for a period of not less than two years from the date of the termination.

The requirements of this section shall apply only to records made or kept on or after December 22, 1997.

PROCEDURE FOR NON-SENATE, NON-REPRESENTED ACADEMIC APPOINTEES CORRECTIVE ACTION AND DISMISSAL

(Revised 2/20)

I. Related Policies

APM 150 provides the standards and procedures for corrective action or dismissal of non-Senate non-represented academic appointees. APM 140 describes the University policy regarding the grievance procedure for non-Senate non-represented academic appointees. The UCSB Local Procedures for Reported Staff & Non-Faculty Academic Personnel Violations of the UC Policy on Sexual Violence and Sexual Harassment describes the UCSB procedures or corrective action in cases involving a violation of the UC Policy on Sexual Violence and Sexual Harassment. Procedures for represented non-Senate academic appointees are contained within the applicable MOU.

II. Background

Corrective action or dismissal may be instituted for good cause, including but not limited to misconduct, unsatisfactory work performance, or dereliction of duty. For non-Senate academic appointees who are subject to peer review for performance evaluation, demotion and dismissal shall involve the regular peer review process. Such peer review shall be advisory to the referral officer as listed in Appendix A.

III. Policy

Non-Senate academic appointees are expected to conduct themselves in a manner consistent with the rules, regulations and policies of the University and to perform their assigned responsibilities.

A. Definition

1. Corrective action is a written warning, written censure, suspension without pay, or demotion for good cause, including but not limited to misconduct, unsatisfactory work performance, or dereliction of academic duty.

   (a) Written warning is a communication that informs the appointee of the nature of the misconduct or deficiency, the method of correction, and the probable consequence of continued misconduct or deficiency.

   (b) Written censure is a formal reprimand that conveys institutional rebuke.

   (c) Suspension is debarment without pay from appointment responsibilities for a stated period of time.

   (d) Demotion is reduction in rank, step, and/or salary.

2. Dismissal is the termination of employment initiated by the University prior to the ending date of appointment for good cause, including but not limited to serious misconduct, continued unsatisfactory work performance, or serious dereliction of academic duty.

B. Application of Corrective Action and Dismissal Actions

1. Prior to instituting corrective action (other than written warning) and dismissal, efforts to resolve the problem informally should have been attempted by the referral officer.

2. Investigatory Leave

   An appointee may be placed on immediate investigatory leave with pay, without prior written notice, for the purpose of reviewing or investigating charges of misconduct or dereliction of duty, which, in the judgment of the Chancellor, or Associate Vice Chancellor for Academic Personnel, require removing the appointee from University premises. Such investigatory leave must be approved by the Associate Vice Chancellor for Academic Personnel and confirmed in writing after it is instituted.

3. Written Notice of Intent

The referral officer, after consultation with Academic Personnel, shall provide a written Notice of Intent to the appointee prior to initiating the actions of written censure, suspension without pay, demotion, or dismissal. The Notice shall state: (1) the intended action, including reasons for the action and the proposed effective date; (2) the basis of the charges, including copies of pertinent materials supporting the charge; (3) the appointee's right to respond either orally or in writing within fourteen (14) calendar days of the date of issuance of the written Notice of Intent; and (4) the person to whom the appointee should respond. No Notice of Intent is required for a written warning.

4. Response to Written Notice of Intent

The appointee who receives a written Notice of Intent shall be entitled to respond, either orally or in writing, within fourteen (14) calendar days of the date of issuance of the written Notice of Intent. The response, if any, shall be reviewed by the adjudicating officer as listed in Appendix A.

5. Review of Proposed Corrective Action or Dismissal

a. Review shall normally be addressed by the appropriate referral officer to the appropriate adjudicating officer. For employees subject to peer review (see appendix A) the following additional steps will be taken:

i. The adjudicating officer shall appoint a three-member committee of University employees, one of whom shall be the Director of Equal Opportunity, and the remaining two shall be employees in the same or similar title and status as the affected individual. This committee shall investigate and advise the adjudicating officer of the appropriateness of the proposed action.

ii. After timely receipt of the committee's recommendation on the proposed action, the adjudicating officer shall advise the Chancellor, Dean, Dean of the Graduate Division (in cases involving student titles), the referral officer, and the individual's supervisor, if other than the referral officer, of any action to be taken.

iii. The individual shall have the right to grieve this action under APM 140 and Red Binder IX-25.

6. Written Notice of Action

In the event the adjudicating officer makes a determination to institute the corrective action or dismissal following the review of a timely response, if any, from the appointee, and within thirty (30) calendar days of the date of issuance of the written Notice of Intent, the referral officer shall issue a written Notice of Action to the appointee of the corrective action or dismissal to be taken, giving the effective date. The Notice of Action also shall notify the appointee of the right to grieve the action under Section 140 of the Academic Personnel Manual. The Notice of Action may not include an action more severe than that described in the Notice of Intent.

7. Representation

An appointee may be self-represented or may be represented by another person at any stage of the corrective action or dismissal process.

8. Extension of Time

Prior to expiration of any time limit stated in this policy, extensions may be granted by the Chancellor, Executive Vice Chancellor, or appropriate designee.

APPENDIX A

TITLE, SERIES OR CLASS OF INDIVIDUAL CHARGED	REFERRAL OFFICER	ADJUDICATING OFFICER
Adjunct Professor (paid positions)*	Department Chair	Associate Vice Chancellor Academic Personnel
Professional Research** Specialist** Project Scientist**	Department Chair or Director	Associate Vice Chancellor Academic Personnel
Librarians**	Head of Unit	University Librarian
Assistant or Associate University Librarian	University Librarian	Executive Vice Chancellor
Continuing Educators Extension Teacher	Dean, Professional and Continuing Education	Associate Vice Chancellor Academic Personnel
Academic Coordinator	Department Chair or Director	Associate Vice Chancellor Academic Personnel
Graduate Student Researcher	Department Chair or Director	Associate Vice Chancellor Academic Personnel

*subject to peer review
**Represented employees in these titles are subject to the policies and procedures outlined in the applicable MOU.

PROCEDURES FOR NON-SENATE, NON-REPRESENTED ACADEMIC GRIEVANCES

(Revised 2/20)

Sources: APM 140 - General University Policy Regarding Academic Appointees, Non-Senate Academic Appointees/Grievances

This policy applies to all academic appointees who are not members of the Academic Senate, except those appointees covered by a Memorandum of Understanding. Student academic employees not covered by an MOU may only grieve matters related to their academic appointment.

Grievance Liaison: The Office of Employee & Labor Relations shall serve as the liaison office for any grievance proceedings conducted under APM 140 and Red Binder IX-25.

Step I Informal Grievance Resolution

During the informal stage the grievant tries to resolve the issue through discussion with the supervisor or other responsible administrator whose action is being grieved. Both the grievant and departmental personnel are urged to consult with the Office of Employee & Labor Relations for assistance in resolving the problem informally. If a grievance alleges sexual harassment, the matter will be referred to the Title IX Office and the grievance will be placed in abeyance pending review by that office.

Step II Formal Review of Grievance

1) A formal grievance must be filed in writing with the grievance liaison within 30 calendar days of the date the grievant knew or could be expected to have known of the event causing the grievance. Informal review does not extend the time limit for formal filing unless a written exception is granted by the grievance liaison.

2) The grievance must include the following information:

   a) If alleging that a specific act was arbitrary or capricious, the specific administrative act must be identified along with a description of how the act was arbitrary or capricious.

   b) If alleging that a violation of applicable University rules, regulations or Academic Personnel policies occurred, identify the section and specific provision alleged to have been violated and how those provision were violated;

   c) The name of the person alleged to have carried out the act or violation of rules, regulations or policy

   d) The date of the act or violation.

   e) How the grievant was adversely affected;

   f) The date of any attempted ~~at~~ informal resolution and identity of the individuals involved; and

   g) The remedy requested.

3) After receiving the written grievance, the grievance liaison will determine if the grievance is complete, timely, within the jurisdiction of APM-140, and contains sufficient facts to support the grievance. Within 10 calendar days of receipt the grievance liaison will inform the grievant of the acceptance of the grievance.

   If the grievance liaison informs the grievant that additional information is needed, the grievant will have ten calendar days to provide the information. When the information provided by the grievant is complete, the grievance liaison will notify the grievant in writing that the formal grievance process has commenced. All further time limits are based on that date.

   The grievance may be dismissed if the grievant fails to provide the requested additional

information, or if the grievance is untimely or outside the jurisdiction of APM-140. If the grievance is dismissed at this stage the grievance liaison will provide the grievant with a written explanation of the basis for the dismissal.

4) The grievance liaison will forward the grievance immediately to the appropriate department chair or comparable authority who, after appropriate review, shall render a decision on the grievance within 30 calendar days and submit it in writing to the grievance liaison. The written decision should be addressed to the grievant. The response must include the reasons for the decision and must also inform the grievant of the right to appeal the decision to Step III.

5) The grievance liaison will forward the decision immediately to the grievant, with copies to the respective dean and department chair.

Step III Administrative Review or Hearing

A grievance that is not resolved at Step II may be appealed for resolution at Step IIIa or Step IIIb, but not both, depending on the issues of the grievance. Matters not eligible for a hearing, such as matters involving title or salary, are handled through administrative review (Step IIIa). Only allegations of violations of certain academic personnel policies or terms and conditions of employment are subject to a hearing (see below). The grievance liaison shall determine whether Step IIIa or Step IIIb is the appropriate route to take.

Step IIIa Administrative Review

1) Appeal to Step IIIa must be in writing and must be received by the grievance liaison within 15 calendar days of the date the Step II response was issued or due, whichever comes first. The appeal must specify the unresolved issues and the remedy requested.

2) The grievance liaison will forward the grievance to the Associate Vice Chancellor for Academic Personnel or designee for review within 7 calendar days.

3) The Associate Vice Chancellor shall provide a written decision to the grievant within 30 calendar days following receipt of the appeal to Step IIIa. The decision shall include the reasons for the decision if the decision of the Step II review is rejected or modified and a statement that the decision is final.

Step IIIb Hearing

1) The appeal to Step IIIb must be received by the grievance liaison within 15 calendar days of the date the Step II response was issued or due, whichever comes first. The appeal must be in writing and must set forth the unsolved issues and remedy requested.

2) Only appeals alleging of violations of the following may be submitted to the hearing officer.

- Nondiscrimination (APM 035)
- Layoff and Involuntary Reduction in Time (APM 145)
- Corrective Action (Censure, Suspension, Demotion)
- Dismissal
- Procedural irregularity in personnel review process

3) Within 7 calendar days from receipt of the written request, the grievance liaison will determine whether the appeal has identified an issue eligible for hearing consideration. If the appeal has not identified an issue eligible for a hearing consideration, the grievance liaison will inform the grievant and submit the appeal for determination under Step IIIa. If the appeal is eligible for hearing consideration the request will be forwarded to the Associate Vice Chancellor for Academic Personnel.

4) The grievant may elect that the grievance be heard by: either a University hearing officer or a non-University hearing officer. Election shall be in writing and shall be final.

(a) University Hearing Officer
The grievance liaison will maintain a current list of three to five individuals who have

agreed to serve as a hearing officer. These individuals will be faculty or other non-student academic appointees who have a practical understanding of academic employer-employee relationships and academic personnel policies. The list will be made available to the grievant prior to deciding whether to select a University or non-University hearing officer. The parties will arrange alternately to strike names, and the person whose name remains will become the University hearing officer.

(b) Non-University Hearing Officer:
If the grievant elects a hearing before a non-University hearing officer, the grievance liaison will request from the American Arbitration Association a list of five names. Upon receipt, the parties will arrange alternately to strike names, and the person whose name remains will become the non-University hearing officer.

Whenever possible the hearing officer will be selected within 45 calendar days from receipt of the grievant's election of hearing officer and within 60 calendar days of the date of the selection of the hearing officer a hearing date will be scheduled.

5) In advance of the hearing, the parties shall attempt to stipulate in writing issues to be submitted for review at the hearing. If the parties cannot agree on the issues, the hearing officer shall define them.

6) Each party shall, upon request, provide the other with copies of material to be introduced at the hearing and names of witnesses who will testify on the party's behalf. To the extent possible, such materials and names shall be exchanged at least 10 calendar days prior to the hearing.

7) The hearing officer shall convene a hearing in which each party shall have the opportunity to present evidence and cross-examine witnesses. The hearing shall be closed and confidential.

8) The hearing shall be tape recorded unless both parties agree in advance to share the costs of a stenographic record.

9) The hearing officer shall provide the Associate Vice Chancellor with a written statement of findings and recommendations within 30 calendar days of the close of the hearing.

The hearing officer shall not substitute their judgment for the academic judgment of a peer review committee or administrative officer, nor shall the hearing officer be empowered to evaluate the academic qualifications or competence of academic appointees.

10) The Associate Vice Chancellor shall issue a final written decision within 30 calendar days of receipt of the findings or recommendations of the hearing.

11) The Associate Vice Chancellor shall provide to the grievant a copy of the findings and recommendations of the hearing officer, and a statement of the reasons if the recommendations of the hearing officer are rejected or modified.

POLICY AND PROCEDURES ON LAYOFF AND INVOLUNTARY REDUCTION IN TIME FOR NON-SENATE, NON-REPRESENTED ACADEMIC APPOINTEES

(Revised 2/20)

I. Related Policies

APM 145 Layoffs-Non-Senate Academic Appointees
APM 140 Appeals-Non-Senate Academic Appointees

II. Background

It is University policy to provide equitable and consistent treatment for academic appointees, both full-time and part-time, in the event their appointments must be terminated due to lack of work, lack of funds or discontinuance of a program or there is an involuntary reduction in percent of time.

III. A. Application of Layoff and Involuntary Reduction in Time.

The provisions of this section are applicable to all academic appointees (see Supplement I and II) of the University of California, Santa Barbara, other than:

1. Members of the Academic Senate.
2. Employees covered by a Memorandum of Understanding (MOU).

The expiration of a term appointment as of the originally specified ending date does not constitute a layoff

B. Determination of Layoff and Involuntary Reduction in Time.

Department Chairs or Heads of Organized Research Units, Programs and Divisions (hereafter referred to as Chairs) are responsible for determining the need for, the order of and to coordinate layoffs and involuntary reductions in time with the appropriate Deans, Directors and the Associate Vice Chancellor for Academic Personnel.

The Academic Personnel Office will not process forms to implement either action if they do not conform to University and campus policies and procedures.

C. Order of Layoff and Involuntary Reduction in the Percent of time will normally be determined on the basis of:

1. Exceptional skill, knowledge or ability that is essential to the operation of the department or unit, as determined by the Chair.

2. When there is no substantial difference in degree of special skills, knowledge, or ability essential to the department or unit, the order of layoff or involuntary reduction in time shall be in inverse order of seniority.

   Seniority shall be established on the basis of the number of months of full-time equivalent service with the University.

IV. Procedures

A. Upon determining the need for a layoff, or an involuntary reduction in time, and the order in which it is to be accomplished, the Chair will submit a recommendation (Exhibit A), to the Associate Vice Chancellor for Academic Personnel via the appropriate Dean or Director as applicable. The recommendation shall include the following:

1. Name of appointee to be laid off or reduced in time; appointee's rank, step, and months of service.

2. Statement of the specific conditions that make the action necessary, i.e., an explanation of why there is a lack of work, lack of funds, or discontinuance of a program.

3. Names of other appointees in the department within the same category of employment (e.g. Professional Research series, Specialists, etc.) with their title, rank, step, months of service, and area of expertise.

4. Justification of the order of layoff or involuntary reduction in time. (Note: the appointee may request a written summary of the reasons for the order of layoff or involuntary reduction in time.)

5. A copy of the written notification the Chair proposes to send to the appointee, which shall include:

   a. the reason for the action,
   b. the effective date,
   c. how earned vacation will be handled,
   d. Benefits continuation contact information
   e. the link for UC Recruit as a resource for open positions on campus

6. The Chair's signature is certification that he/she has investigated all facts in the case and determined that there is no alternative to the proposed action.

7. An up to date copy of the employee's bio-bibliography or CV.

B. The Dean or Director shall review the proposal, as appropriate, and, if satisfied that the proposed action is unavoidable and the selection of the appointee was made in accordance with policies and procedures, will endorse the proposal and forward it to the Associate Vice Chancellor for Academic Personnel.

C. The Office of the Associate Vice Chancellor for Academic Personnel shall review the request for compliance with University policies and procedures. The Associate Vice Chancellor for Academic Personnel or designate, shall notify the Chair in writing of the final decision. The thirty (30) day notice period begins on the date the Chair is notified of the Associate Vice Chancellor's approval.

D. If the layoff or involuntary reduction in time is approved, the Chair will inform the individual in writing and forward a copy of the notification letter to the Academic Personnel Office.

E. Written notice

Except for Continuing Education Specialists (APM 340-20-e), written notice of layoff or involuntary reduction in time must be given to an appointee covered by this policy at least thirty days in advance of the effective date. It is recommended that the appointee be given as much additional notice as possible. Appropriate pay in lieu of notice may be given.

F. Layoff Status.

An individual in layoff status is given preferential consideration for reemployment during the 12 month period immediately following the date of layoff. Layoff status as used in this Section and section G. includes involuntary reductions in time.

1. Vacancies occurring in the same administrative unit and title series from which the individual has been laid off shall be filled by persons in layoff status, provided a qualified person is available.

   Preference for re-employment shall be granted to:

   a. Appointees on layoff status;
   b. Appointees whose time has been involuntarily reduced; or
   c. Appointees who have received written notice of layoff or involuntary reduction in time within the six months prior to implementation of layoff or involuntary reduction in time.

2. If two or more qualified persons are in layoff status from the same unit, the individual who was laid off last should be the first to be rehired.

3. Subject to approval by the Associate Vice Chancellor for Academic Personnel, a position which requires special skills, knowledge or abilities may be filled by an individual who possesses the required skills but is not in layoff status even if an individual in layoff status, but who does not possess the skills, knowledge and abilities, is also an applicant for the position.

4. The Office of the Associate Vice Chancellor for Academic Personnel shall maintain a roster of all persons in layoff status.

5. When a person is reemployed after a period of layoff not exceeding 12 months, the periods before and after layoff shall be considered as continuous or uninterrupted service for the limited purpose of applying University policies regarding seniority, sick leave, vacation, holidays, other leaves, reduced fees, and salary advancement by merit increases or promotion. However, benefits and credits for service, including those related to any retirement system, do not accrue during periods of layoff status.

6. Layoff status may be less than one year, if appointment would have normally expired for those appointments with specified ending date, or reappointment occurs within the campus to the same or equivalent position.

G. Reemployment

A hiring unit may reemploy a person in layoff status by inputting the information to the payroll system. The hiring unit is not required to conduct an open search for the position.

H. Appeals

Layoff decisions may be appealed in accordance with policies and procedures set forth in APM 140 and Regents' Standing Order 103.9.

EXHIBIT A

LAYOFF AND INVOLUNTARY REDUCTION IN TIME

IT IS PROPOSED THAT THE INDIVIDUAL NAMED BELOW BE
LAID OFF OR REDUCED IN TIME FOR THE FOLLOWING REASON:

Lack of work _____ Lack of funds_____

NAME _____ TITLE_____

STEP _____ MONTHS OF SERVICE_____

ADMINISTRATIVE UNIT_____

FUNDING SOURCE(S)_____
Name Account number

EFFECTIVE DATE OF ACTION_____

REASONS: _____

Attach copy of updated Bio-bibliography or C.V.

Provide the requested information concerning all other appointees in the unit who hold appointment in the same title:

Name _____ Rank_____

Step _____ Months of Service_____

Reason not selected:_____

(Use additional pages to complete this section. Include names of others who hold appointment in the same title.)

I certify that the above information is correct.

_____ _____
Principal Investigator Date

_____ _____
Department Chair/Unit Head Date

_____ _____
Dean/Director Date

_____ _____
Vice Chancellor for Academic Personnel Date

ACADEMIC APPOINTEES NON-SENATE MEMBERS (FACULTY)

Adjunct Series
- Assistant Adjunct Professor
- Associate Adjunct Professor
- Adjunct Professor

Visiting Titles
- Visiting Assistant Professor
- Visiting Associate Professor
- Visiting Professor

ACADEMIC APPOINTEES NON-SENATE MEMBERS (NON-FACULTY)

*Librarian Series
- Assistant Librarian
- Associate Librarian
- Librarian
- Assistant University Librarian
- Associate University Librarian

*Professional Research Series
- Assistant Research
- Associate Research
- Research

*Project Scientist Series
- Assistant Project Scientist
- Associate Project Scientist
- Project Scientist

*Specialist Series
- Junior Specialist
- Assistant Specialist
- Associate Specialist
- Specialist

Other Titles
- Academic Coordinator
- Extension Teacher
- Continuing Educator
- Associate University Librarian
- Assistant University Librarian
- Graduate Student Researcher

Visiting Titles
- Visiting Assistant Research
- Visiting Associate Research
- Visiting Research
- Visiting Assistant Project Scientist
- Visiting Associate Project Scientist
- Visiting Project Scientist
- Visiting Jr. Specialist
- Visiting Assistant Specialist
- Visiting Associate Specialist
- Visiting Specialist

*If represented by a Union, see applicable provisions in the appropriate MOU.