

Summary of change:

- I-11 Use of Acting Asst Professor title changes due to new salary scale
- I-17 Clarification of use of timing of relocation allowance payout
- I-29 Reference to new campus policy on graduate student involvement in industry
- I-49, 50, 56 Revisions to sample wording for solicitation of external review letters  
II-10 for various Lecturer series
- I-70 Change in methodology for calculating recall annual salaries
- III-12 Remove reference to appraisals in Research series
- III-18, 19, 20 Revisions to Postdoctoral Scholar policy and appointment form
- V-1, 23 Open search no longer required for Postdoctoral Scholars
- III-23 Changes to Visitor letter to allow for UCSBnetID
- VI-10 Summer 2008 additional comp dates
- VII-13 New campus policy on graduate student involvement in industry

## ACTING ASSISTANT PROFESSOR APPOINTMENTS

(Revised 10/95 04/08)

**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, with automatic regularization to Assistant Professor, *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.

When automatic regularization of an Acting Assistant Professor 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, ~~then the change in title (dropping the "Acting") will be effective with at the beginning of that quarter, and the change in salary will be effective at the beginning of the pay period for that quarter.~~

**II. Procedure for Reappointment**

APM 235-17 states, "Each appointment as Acting Instructor or Acting Assistant Professor (or equivalents) 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 College or School and the Committee on Academic Personnel*, 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 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.

I-17  
**NEW LADDER FACULTY COMMITMENTS**  
(Revised 08/07 04/08)

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 New Ladder 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 the same approval as the original commitment. Requests for revisions should be made in memo form to the appropriate Dean's office. A revised commitment sheet will be issued by the Academic Personnel office as approval or denial of the request.

### **Housing**

Mortgage Origination Program (MOP) loan commitments are made available for approximately a two-year period from the date of appointment. Extension beyond the expiration date may be possible on a year by year basis dependent of 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 West Campus Point housing wait list based on College housing allocations. Ladder faculty and Lecturers in the Security of Employment series are eligible for West Campus Point housing.

~~Rental of a Willow Springs apartment may be offered to all Ladder series and Security of Employment series appointees.~~ Rental of family student housing may also 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.

### **Relocation allowance**

The Faculty Recruitment Allowance (commonly 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. The maximum allowable amount can be found at Table 45 of the published Salary Scale. Incoming faculty should be advised of the following to avoid unrealistic expectations about how and when they can get the money.

Faculty cannot get their relocation allowance until they are employees and have been entered into the payroll system. For example, if the hire date is July 1, funds may not be paid out until the first scheduled pay date in July. Exceptions to this policy can not be made and the appointment start date can not be modified to accommodate payment. *The relocation 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.*

Relocation allowances are considered wages for Federal and State tax reporting and withholding and for Social Security taxes, workers' compensation, and unemployment insurance. The faculty member should

consult with staff in the Payroll office if they wish to adjust their W-4 form specifically for the payment of the Relocation Allowance.

Payment of the Relocation Allowance is made through PPS, using Title Code 3993. Request for payment of the Relocation Allowance should be made at least 30 days in advance of the date the money is needed.

**CONFLICT OF COMMITMENT AND OUTSIDE PROFESSIONAL ACTIVITIES**

(Revised 05/07 04/08)

**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 and are required to submit an annual report:

Assistant Professor, Associate Professor, Professor

The above titles when used with an Acting, Adjunct or Visiting pre-fix

Lecturer SOE, Senior Lecturer SOE

In addition, administrative officers 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 normally may not engage in compensated outside professional activity for more than 39 days during the academic year. The Chancellor may approve outside employment in excess of this time limit for an individual faculty member, or a group of faculty, when in the Chancellor's opinion the activity benefits the University

**Categories Of Outside Professional Activity**

Three categories of compensated 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 activity

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. Category I activities include:

- Assuming an executive or managerial position in a for-profit or not-for-profit business.
- Administering a grant outside the University that would ordinarily be conducted under the auspices of the University.
- Establishing a relationship as a salaried employee outside the University, including teaching or research at another institution.
- Other compensated professional activity that common sense and good judgment would indicate are likely to raise issues of conflict of commitment.

Category II activities are unlikely 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:

- Testifying as an expert in administrative, legislative, or judicial hearings;
- 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 workshops for industry
- Other compensated 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 include:

- Serving on a committee, panel, or commission established by a governmental agency;
- Acting as a reviewer or editor for journal or book manuscripts.
- Serving as a committee member or an officer of a professional or scholarly society, or providing professional services to such societies.
- Participating in or accepting a commission for an artistic performance or event not sponsored by the University.
- Presenting an invited lecture or paper at a meeting.
- Developing scholarly communications, even when such activities result in financial gain.
- Accepting honoraria (other than those received for Category II activities) and prizes.

Before involving a student in an outside professional activity in which a faculty member has a financial interest, the faculty member must obtain prior written approval. Involvement means any substantive activity, whether paid or unpaid. The campus Policy on Graduate Students Working with Industry provides guidelines and procedures for requesting the proper approval for such activity.

### **Prior approval and reporting requirements**

Request for approval to engage in Category I activities, or to exceed the 39 day limit, or to involve a student in outside professional activity must be submitted to the Department Chair by **June 1** for the upcoming academic year. The Prior Approval For Compensated Outside Activities form, (APM-025, appendix B) is to be used for such requests. 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. If the faculty member, Department Chair and Dean agree, the Dean's decision will be final. In cases of disagreement, the Dean will consult with the Associate Vice Chancellor for Academic Personnel to reach a decision.

Exceptions to engage in compensated teaching (with the exception of occasional lectures) or research at another institution while employed as a full time faculty member is not permitted without prior written approval of the Chancellor. This authority may not be delegated beyond the Executive Vice Chancellor.

Before involving a student in an outside professional activity in which a faculty member has a financial interest, the faculty member must obtain prior written approval. Involvement means any substantive activity, whether paid or unpaid. The campus Policy on Conflict of Interest Graduate Students Working with Industry (Red Binder VII-13) provides guidelines for such activity.

All activity that is subject to the 39-day limit as described above must be reported on an annual basis. The annual report period is from July 1st to June 30th of each year. The Report of Category I and II Compensated Outside Professional Activities form (APM-025, appendix C) is to be used for reporting purposes. This report must be completed annually by each faculty member and submitted to the Department Chair by **October 31** of the calendar year. The Chair must review and sign each report. The Dean will review and sign the report of the Chair. Reports are to be maintained in the department until

the next personnel action at which time they will be included with the merit or promotion case. The reports are considered to be non-confidential in nature and are subject to public inspection. APM-025 appendix B and appendix C are available at <http://www.ucop.edu/acadadv/acadpers/apm/apm-025-07-01.pdf>

I-49  
SAMPLE LETTER FOR SOLICITATION  
OF EXTRAMURAL EVALUATION

(Revised 03/04 04/08)

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. Merit to Professor VI
- G. Appointment or Merit to Professor Above Scale
- H. Thank You Letter for Unsolicited Comments
- I. Restricted Materials (Non-UC Placement Files)
- J. *Appointment to Lecturer PSOE*
- K. *Appointment or Promotion to Lecturer SOE*
- L. *Appointment or Promotion to Sr. Lecturer SOE*
- M. *Continuing Lecturer Excellence review*
- N. *Continuing Lecturer promotion to Sr. Lecturer*

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. The material made available will lack the letterhead, the signature block, and 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 request 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 05/07 04/08)

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. [Sample wording for evaluation request: e.g., I would greatly appreciate your evaluation of \_\_\_\_\_'s work.]

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. [Sample wording for evaluation request: e.g., I would greatly appreciate your evaluation of \_\_\_\_\_'s work.] [For promotion only, add] In addition, please indicate if you feel that the candidate would be promoted at your university.

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. [Sample wording for evaluation request: e.g., I would greatly appreciate your evaluation of \_\_\_\_\_'s work.]

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. [Sample wording for evaluation request: e.g., I would greatly appreciate your evaluation of \_\_\_\_\_'s work.] **[For promotion only, add]** In addition, please indicate if you feel that the candidate would be promoted at your university.

#### 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. [Sample wording for evaluation request: e.g., I would greatly appreciate your evaluation of \_\_\_\_\_'s work.]

#### F. Merit to Professor VI

\_\_\_\_\_ is being considered for advancement to 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. Advancement to Step VI, or higher, involves an evaluation of the candidate's entire career and 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 advancement to this step. [Sample wording for evaluation request: e.g., I would greatly appreciate your evaluation of \_\_\_\_\_'s work.]

#### G. Appointment or Merit to Professor Above Scale

\_\_\_\_\_ is being considered for (an appointment as/ advancement to) Professor Above Scale in the Department of \_\_\_\_\_. In the University of California, there are nine steps within the rank of Professor. Steps VI, VII, VIII, and IX are reserved for highly distinguished scholars. (Appointment/advancement) to an Above Scale salary is reserved for scholars and teachers of the highest distinction, whose work has been internationally recognized and acclaimed and whose teaching performance is excellent. . [Sample wording for evaluation request: e.g., I would greatly appreciate your evaluation of \_\_\_\_\_'s work.]

#### H. Sample Thank You Letter for Unsolicited Comments

Use the sample letter, modifying the opening remarks and final paragraph 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.

[Closing remarks: e.g., Thank you again for your assistance with this case.]

#### I. Sample Letter for Restricted Materials (Non-Uc Placement Files)

Use the sample letter, modifying the opening remarks and final paragraph 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.

#### J. Appointment to Lecturer PSOE

\_\_\_\_\_ is being considered for an appointment as a Lecturer with Potential Security of Employment in the Department of \_\_\_\_\_. Appointment to Lecturer with Potential Security of Employment within the UC System requires clear evidence of potential excellence in teaching and promise of future growth. Research and creative activity, although not required for Lecturer with Potential Security of Employment positions, is also reviewed when available. [Sample wording for evaluation request: e.g., I would greatly appreciate your evaluation of \_\_\_\_\_'s work.]

#### K. Appointment or promotion to Lecturer SOE

\_\_\_\_\_ is being considered for (an appointment as/ promotion to) Lecturer with Security of Employment in the Department of \_\_\_\_\_. Appointment (or promotion) to Lecturer with Security of Employment within the UC System requires clear evidence of teaching ability of exceptional quality, and promise of future growth. Research and creative activity, although not required for Lecturer with Security of Employment positions, is also reviewed when available. [Sample wording for evaluation request: e.g., I would greatly appreciate your evaluation of \_\_\_\_\_'s work.] [For promotion only, add] In addition, please indicate if you feel that the candidate would be promoted at your university.

#### L. Appointment or promotion to Sr. Lecturer SOE

\_\_\_\_\_ is being considered for (an appointment as/ promotion to) Sr. Lecturer with Security of Employment in the Department of \_\_\_\_\_. Appointment/promotion to Senior Lecturer with Security of Employment within the UC System requires teaching ability of exceptional quality and evidence demonstrated, in terms appropriate to this type of appointment, that the candidate has reached the level of professional achievement required of a professor. Research and creative activity, although not required for Senior Lecturer with Security of Employment positions, is also reviewed when available.

M. 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.

N. Continuing Lecturer promotion to Sr. Lecturer

\_\_\_\_\_ is being considered for a promotion to Senior Lecturer, Continuing Appointment in the Department of \_\_\_\_\_. Appointment beyond six years as a Lecturer within the UC system includes the right to a Continuing Appointment so long as the University determines that the instructional need exists and that the instructional performance of the lecturer is excellent. The record of performance in teaching is carefully assessed and the standard of excellence is an indispensable qualification for appointment beyond six years. \_\_\_\_\_ completed a review for Lecturer, Continuing Appointment in \_\_\_\_ and is now being considered for promotion to the rank of Senior Lecturer, Continuing Appointment. Along with continued excellence in the area of teaching, promotion to the Senior rank requires service of exceptional value to the university. Service activities may include departmental or campus governance or activities that involve the candidate's professional expertise in a context outside the University's environment.

I-56  
LECTURER/ SENIOR LECTURER  
SECURITY OF EMPLOYMENT  
(Revised ~~11/06~~ 04/08)

Security of Employment

An appointment with Security of Employment or Potential Security of Employment can only be granted in conjunction with the titles Lecturer or Senior Lecturer, 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%.

Campus Policy on Allocation of FTE

It is campus policy to consider the possible allocation of a provision for a Lecturer or Senior Lecturer SOE or Lecturer PSOE primarily in cases where the curricular duties are so specialized in character that it would be difficult to assure continuance of the presentation of the subject matter with any other type of appointment. A permanent allocation will be made only after an administrative review of a departmental request that must make a persuasive case that such an appointment fits this description and meets long range needs. This request and supporting justification should be submitted to the Executive Vice Chancellor via the Dean; it will also be reviewed by the Counsel on Planning and Budget. Lecturer and Senior Lecturer provisions will be rarely granted and only after the most rigorous scrutiny. The reason for this is that the university is primarily both a research and teaching institution. Provisions for permanent appointments or reappointments with the possibility of permanence should normally be used for the appointment of regular ladder faculty, that is to say, faculty who engage in both research (or other creative activity) and teaching.

**I. Qualifications**

At least one of the following qualifications is essential for appointment in the Lecturer SOE series:

1. Teaching ability in a subject matter so specialized in character that it would be difficult to assure continuance of the presentation of the subject matter with any other type of appointment, and promise of future growth.
2. Lecturer PSOE: clear evidence of potential excellence in teaching and promise of future growth.

Lecturer SOE: teaching ability of exceptional quality, and promise of future growth.

Sr. Lecturer SOE: teaching ability of exceptional quality and evidence demonstrate, in terms appropriate to this type of appointment, that the candidate has reached the level of professional achievement required of a professor.

**II. Appointment Criteria**

Teaching:

Excellent teaching is an essential criterion for appointment. Clear documentation of ability and effectiveness in teaching is required. In judging the effectiveness of a candidate's teaching, such points as the following should be considered:

1. The candidate's command of his/her subject.
2. Continuous growth in his/her field.
3. Ability to organize material and to present it with force and logic.
4. Capacity to awaken in students an awareness of the relationship of his/her subject to other fields of knowledge.
5. Grasp of general objectives.
6. The spirit and enthusiasm which vitalize his/her learning and teaching.
7. Ability to arouse curiosity in beginning students and to stimulate advanced students to creative work.
8. Personal attributes as they affect his/her teaching and students.
9. The extent and skill of his/her participation in the general guidance and advising of students.

### Documentation

Documentation of teaching should include a description of the candidate's teaching load for the review period (at UCSB the normal teaching load for Lecturers in the SOE series is three courses per quarter or an appropriate equivalent). Documentation should also include an enumeration of the MA and Ph.D. candidates supervised or directed to completion of their degrees, and class-by-class summaries of all available teaching evaluations. Other significant types of evidence include:

1. Opinions of colleagues, particularly if based on class visits, observations of lectures, or knowledge or performance in courses prerequisite to those taught by the informant.
2. Opinions of current and former students.
3. Number and caliber of students the candidate has guided in their studies or attracted to the campus by his/her repute.
4. Information about the reception of lectures given by the candidate before professional or learned societies.
5. Information about time spent in teaching extra courses including University Extension, being available to and guiding students outside class, preparing for classes, undertaking courses he/she has not taught before, and improving instructional methods.

Student and peer evaluation of teaching is central to the review process, but evidence will also be sought of significant contributions to university level teaching through development of superior teaching materials, programs for teaching improvement, and other activities related to teaching.

### Professional Competence and Activity

Evidence includes such items as:

1. Election to significant offices of professional or learned societies.
2. Initiations to lecture, present papers, etc.

3. Awards, grants or honors bestowed by organizations or foundations.
4. Requests for consultative service.

### University and Public Service

Evidence should include a list of the candidate's services (with dates) in departmental, Academic Senate and administrative capacities (including committee service), and a list of formal service to the community or to public agencies. Evaluation of service in these areas is helpful. Recognition should be accorded the candidate for able administrative or faculty governance, and for able service to the community, state or nation when such service rests upon professional expertise. Contributions to student welfare should also be recognized.

### Letters of evaluation

At least 6 letters of evaluation should be submitted with the case for appointment or promotion with Security of Employment, at least half of which come from individuals selected by the Chair in consultation with the department but independent of the candidate. Letters from extramural referees with knowledge of the candidate's professional status and teaching record are preferable, although internal referees may also be used to provide evaluation of the teaching record. In all cases, the sample letter for solicitation of extramural evaluation (Red Binder I-49) *and the sample wording by proposed action (Red Binder I-50)* should be used.

For appointment to Lecturer PSOE, the sample letter for Assistant Professor appointments (Red Binder I-50, A) should be used, with the following wording substituted as appropriate:

Appointment to Lecturer with Potential Security of Employment within the UC System requires clear evidence of potential excellence in teaching and promise of future growth. Research and creative activity, although not required for Lecturer with Potential Security of Employment positions, is also reviewed when available.

For promotion or appointment to Lecturer SOE, the sample wording for Associate Professor appointments (Red Binder I-50, B) should be used, with the following wording substituted as appropriate:

Promotion to Lecturer with Security of Employment within the UC System requires clear evidence of teaching ability of exceptional quality, and promise of future growth. Research and creative activity, although not required for Lecturer with Security of Employment positions, is also reviewed when available.

For promotion or appointment to Senior Lecturer SOE, the sample wording for Professor appointments (Red Binder I-50, C) should be used, with the following wording substituted as appropriate:

Promotion to Senior Lecturer with Security of Employment within the UC System requires teaching ability of exceptional quality and evidence demonstrated, in terms appropriate to this type of appointment, that the candidate has reached the level of professional achievement required of a professor. Research and creative activity, although not required for Senior Lecturer with Security of Employment positions, is also reviewed when available.

Red Binder I-46 to I-48 provides further information relating to letters of evaluation. An ad hoc review committee will be appointed to review any appointment to Lecturer SOE or Senior Lecturer SOE (Red Binder, I-60)

## **III. Compensation**

The review cycle for a Lecturer in the SOE series is determined by the years at rank and years since last

advancement.

Salaries for Lecturers with Potential Security of Employment will normally begin at a close equivalent to the salaries for Assistant Professors. Academic personnel review will occur every two years. Promotion to Lecturer SOE will normally occur during the sixth year of service as Lecturer PSOE.

Salaries for a Lecturer SOE normally begin at a close equivalent to the salaries for Associate Professors. Academic personnel review will occur every two years. Eligibility for advancement to Senior Lecturer SOE will occur after six years as Lecturer SOE. An individual who is not promoted to Sr. Lecturer SOE may continue to receive further merit increases, however eligibility will be every three years if the individual is being paid at a level equivalent to the salary of a Professor. The salary of a Lecturer SOE will not exceed the level of Professor VI.

Salaries for a Senior Lecturer SOE begin at a close equivalent to the salary for Professor I. Academic personnel review will occur every three years.

#### **IV. Restrictions**

1. An Assistant Professor with eight years of service, who is not promoted to Associate Professor may not be appointed to the Lecturer SOE series unless a five year break in service has occurred.
2. Total service at more than half-time as Lecturer with Potential Security of Employment is limited to a maximum of eight years.
3. For a Lecturer PSOE at less than 100% time, promotion to Lecturer SOE automatically removes the individual from Unit 18.
4. Since appointees in the Lecturer series are hired for their teaching skills, they will normally carry significantly higher teaching loads than members of the professorial series. At UCSB the teaching load for the Lecturer SOE series will be determined by the departmental workload policy for titles in Unit 18.
5. Lecturers in the SOE series are not eligible for sabbatical leave. They may however request "educational leave" which will be granted based on the quarters of service in the same manner that sabbatical leave credits would be earned.

#### **V. Advancement**

The academic advancement process for the Lecturer SOE series will be governed by the policies and procedures for ladder faculty reviews (Red Binder I-22). Lecturers in this series will be guaranteed the same rights and will undergo the same levels of review as ladder faculty. All cases should be prepared using the Academic Personnel Review Form (Red Binder I-45) and the checklists for submission by the department chair (Red Binder I-31 and I-34). Since teaching is the primary area of review in the SOE series, it is highly recommended that written student comments be included with the case.

##### 1. Merit

Merits within a Lecturer PSOE, Lecturer SOE or Senior Lecturer SOE title are considered "routine" if they are on time based on the limitations in III above, the proposed salary increase is for at most two increments on the appropriate salary scale. These actions should be prepared using the guidelines listed in Red Binder I-31.

##### 2. Appraisal

A Lecturer PSOE has a probationary period much like that of an Assistant Professor. A mid-career review and appraisal of progress toward promotion will take place during the fourth year of service and will be conducted according to procedures and with the degree of rigor used in evaluating regular faculty (Red Binder I-38).



### 3. Promotion

A Lecturer PSOE will become eligible for promotion to Lecturer SOE when the salary is a close equivalent to Assistant Professor IV. Promotion must occur by the end of the eighth year of service. Promotion to Lecturer SOE will require the same level of qualifications as initial appointment to Lecturer SOE.

A Lecturer SOE will become eligible for promotion to Senior Lecturer SOE after six years of service as Lecturer SOE. Promotion to Senior Lecturer SOE will require the same level of qualifications as initial appointment to Senior Lecturer SOE.

Promotions and accelerated actions are considered "non-routine" and should be prepared using the guidelines listed in Red Binder Section I-34. Ad hoc review committees will be formed in cases of promotion to Lecturer SOE.

I-70  
**PROCEDURE FOR RECALL OF PROFESSOR EMERITUS**  
(Revised 07/05 **04/08**)

A ladder-rank faculty member or Lecturer with Security of Employment who has retired and attained the rank of Professor Emeritus or Lecturer SOE Emeritus, may be recalled to active teaching duty for one quarter or more. Emeriti 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. A faculty member considering returning on a recall basis in the quarter immediately following retirement should consult with the benefits office.

### **I. Teaching appointments**

The appropriate annual salary for the recall appointment is the annual rate at the time of retirement, *or the current on-scale salary for the step attained at the time of retirement, whichever is greater.* ~~plus all subsequent range adjustments.~~ In general, the recall rate will be 1/9<sup>th</sup> of the base salary at the time of retirement per course. However, higher or lower rates may be negotiated as appropriate. The maximum allowed will be the equivalent of 1/9<sup>th</sup> of the current Professor VII rate. A Professor Emeritus may be recalled as a Professor Recall 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.

### **II. Research appointments**

A Professor Emeritus 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. However, those holding the Research Professor title will have the right to direct Masters and Ph.D. theses without the need to petition the Graduate Council for permission. In the event that a Professor is recalled both to teach and for extramurally funded research, either the Research Professor title or the Professorial Recall title may 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, *or the current on-scale salary for the step attained at the time of retirement, whichever is greater.* ~~plus all subsequent range adjustments.~~, converted to an 11/12 basis (multiply the current 9/12 rate x 1.16).

Requests for all appointments must include a department letter -- indicating annual salary, percent time, current year cost, FTE, brief discussion of duties, and qualifications, and an updated Academic Biography form if there have been changes since the last appointment. In addition, each recall appointee should be informed of the 1,000 hour rule concerning UCRP membership. If appropriate, a UCRP Waiver and Release form should be completed and submitted to the benefits office.

### **III. Approval authority**

<u>Title</u>	<u>Title Code</u>	<u>Approval Authority</u>
Professor Emeriti	1132	
Prof Recall	1106, 1146 (Engineering)	Dean
Assoc Prof Recall	1206, 1246 (Engineering)	Dean
Lecturer SOE Emeriti	1620	
Sr. Lecturer SOE Emeriti	1621	
Lecturer SOE Recall	1665, 1666 (1/9 <sup>th</sup> )	Dean
Sr. Lecturer SOE Recall	1660, 1662 (1/9 <sup>th</sup> )	Dean
Research Professor	1707	Academic Personnel



## II-10

### Excellence Reviews and Subsequent Merit Reviews

(Revised 01/08 04/08)

The Excellence Review of Unit 18 members, as well as subsequent merit reviews, are intended to reward those individuals who meet specified needs and standards of excellence after a programmatic decision has been made to allocate resources for a Continuing Appointment. The retention of these candidates beyond the sixth year is a significant academic personnel action and the criteria and guidelines described herein must be carefully followed in the review process.

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

The principal criterion for employment beyond the sixth year (18 quarters) as stated in the Memorandum of Understanding (MOU) in Article 7B, is that:

- A.1.(2) The individual under consideration is excellent following an academic review based upon the criteria specified in Section D.

Section D outlines the criteria and evidence to be considered when evaluating all unit members for a Continuing Appointment through an Excellence Review and for subsequent merit increases.

Section D states:

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

Instructional performance is to be measured by evaluation of evidence demonstrating such qualities as:

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

#### II. Evaluation of Performance

It is the department's responsibility to evaluate Continuing Appointment lecturers every three

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

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

### **III. Review Procedure**

Excellence reviews and subsequent merit reviews will be conducted by the department in response to the annual call issued by the office of Academic Personnel. The review case is to be submitted to the Dean's office based on the schedule provided by Academic Personnel. The department should inform the candidate of internal department deadlines and the opportunity to submit materials to be included in the case. If the candidate does not turn in materials by the departmental due date, the department will conduct the review based on the materials available in the department as of the due date. The campus review process is to be completed by the end of the eighteenth quarter of service. Subsequent merit reviews will occur every three years, with effective dates of July 1.

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

### **IV. Documentation of Performance**

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

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

In addition, at least one of the following:

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

The individual under review may also provide:

- A self-statement of teaching
- A list of individuals from whom input may be solicited
- Letters of assessment from individuals with expertise in the field
- Other relevant materials to the evaluation file

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

## V. Extramural Evaluations

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

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

*The sample solicitation letter and confidentiality statement must be used when soliciting letters of evaluation (Red Binder I-49 and I-50). In soliciting letters, attention should be given to alerting the referee as to the relevant criteria that should be applied. For example:*

*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.*

*The above language is suggested and review committees are encouraged to take special care in 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. — In addition, a letter of solicitation must include the University confidentiality statement (See Red Binder I 49).*

## **VI. Other Evidence**

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

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

## **VII. Service**

It is expected that a lecturer will participate in activities that involve service to the department and the university. The department should make its expectations clear in this area and should take care to include this information in its review of a candidate. Such data might include records of attendance at departmental and other meetings; department assignments undertaken; accessibility to students (office hour commitments made and kept, independent studies programs directed, student activities sponsored and advised). Any such activities should be noted and evaluated; any such activities that are assigned as part of the candidate's workload should be subjected to a more rigorous evaluation. While every faculty member is expected to have some activity in this area, it should be recognized that the opportunities for such service will vary from lecturer to lecturer. Exceptionally meritorious service should be carefully documented in preparing the recommendation.

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

## **VIII. Reviewing Agencies**

1. The departmental review committee prepares the letter of recommendation after appropriate review has taken place. The letter of recommendation should accurately describe all review committee views including those of dissenting members. The department's recommendation, with accompanying material, is sent to the office of the appropriate Dean.
2. The Dean of the appropriate college makes an analysis and recommendation based on

the materials and recommendation submitted by the department. In addition to the departmental case, however, the Dean has access to departmental and Dean's recommendations from previous reviews. The Dean has authority on merit cases. For individuals appointed at the College level the Associate Vice Chancellor for Academic Personnel has authority for the merit review.

3. The Associate Vice Chancellor for Academic Personnel has authority for Excellence reviews, and may request review by the Committee on Academic Personnel when he or she determines that such a review is necessary for proper evaluation.
4. The final decision in all merit and Excellence reviews is based on the documentation presented in the departmental file, as well as the recommendations of the Dean and the Committee on Academic Personnel (in those cases where CAP is asked to review).



III-12  
**PROFESSIONAL RESEARCH SERIES**  
(Revised 08/07 04/08)

**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.

**II. Ranks and Steps**

- A. Assistant Research \_\_\_\_\_ II - 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. 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.

**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 may be for up to two years at the Assistant Researcher and Associate Researcher level and for up to three years at the Researcher level if guaranteed funding is available.

**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 Engineering Professional Research 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:
2. The unit is multi or interdisciplinary and includes both engineering 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, and b) The project with which the individual is associated is an engineering project.

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

- B. Salaries are subject to range adjustment.
- C. Each source which provides compensation for service in this series must permit research.
- D. Off-scale salaries are allowed within the same limits and policies as ladder faculty off-scale salaries. Off-scale salaries for Assistant Researchers may be between \$100 above the designated step and \$100 below the equivalent step in the next rank. Off-scale salaries for Associate Researchers may be between \$100 above the designated step and \$100 less than one step higher in the next rank. Off-scale salaries for Researchers below Step VI may be between \$100 above the designated step and \$100 less than four steps above, with a maximum of \$100 below Step VI. For Researchers at Steps VI through IX, no off-scale salary in excess of 10 percent above Step IX will be approved. (Red Binder I-8)

## **VI. Requests for Appointment, Reappointment, and Advancement**

### Appointment

Appointment cases are to be prepared using the Temporary Academic Appointment Form Letter (Red Binder III-3) and the checklist of documents to be submitted by the Chair for appointments (Red Binder III-7). Particular attention should be paid to sections N & O, which require 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 prepared using the Temporary Academic Appointment Form Letter (Red Binder III-3). The timing of the reappointment will be based on the original start date of the appointment and/or the availability of funding.

### Advancement: Merit and Promotion

Advancement cases are to be prepared using the Research Title Review Form (Red Binder III-4) and the checklists 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. Merit increases are based on the academic record since the time of last review while promotions are based on the career academic record. Any advancement requested prior to that time will be considered an acceleration and must be justified as such.

All merits and promotions will be effective July 1. Completed cases must be submitted to the Office of Research 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.

Deferral will be automatic if a Researcher 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.

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.

### **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, merit to Researcher, Step VI and merit to Researcher Above Scale. A minimum of 4 letters must be included at the Associate level, a minimum of 6 at the Full Researcher level. In addition to the foregoing, recommendations for promotion or advancement to Researcher, Step VI must include at least 6 extramural evaluations from references. At least half of the letters submitted with the case should come from references chosen by the Department or Program independent of the candidate. Letters from faculty or researchers at other UC campuses are essential for appointment/ advancement to Research VI, preferably from individuals already at the senior ranks. 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.

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 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 a merit advancement to Researcher, Step VI or appointment at Step VI or above, the following wording should be inserted as appropriate:

\_\_\_\_\_ is being considered for advancement 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. Advancement to 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.]

## VII. Approval Authority

<u>Action</u>	<u>Authority</u>
Asst appts, re-appts, merits	Vice Chancellor for Research
Assoc, Full appts	AVC, Academic Personnel
Assoc, Full, re-appts, merits	Vice Chancellor for Research
Promotions	AVC, Academic Personnel
Merit to Researcher VI or to Above Scale	AVC, Academic Personnel
Use of Engineering scale in non-Engineering unit	AVC. Academic Personnel

III-18  
POSTDOCTORAL SCHOLARS  
(Revised 05/07 04/08)

**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). See APM 390 for the system-wide policy on Postdoctoral Scholars.

**II. Appointment Criteria**

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

- A. Postdoctoral Scholar- Employee (3252)  
Used when payment for the appointment will be made via the University payroll system. Positive time appointment in PPS.
- B. Postdoctoral Scholar- Fellow (3253)  
Used when the Scholar has been awarded a fellowship or traineeship that will be paid through a University account. The appointment in PPS may be with salary or without salary (funds paid as a stipend) depending on the fund source.
- C. Postdoctoral Scholar- Paid Direct (3254)  
Used when the Scholar is paid a fellowship or traineeship directly by the granting agency. Appointed without salary in PPS.

The "Postdoctoral Scholar Classification" flowchart on the Graduate Division web site at <http://www.graddiv.ucsb.edu/pubs/postdocs/pdf/scholarpositions.pdf> 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. Appointment Process**

Appointments require submission of the following completed and signed paperwork:

1. Postdoctoral Scholar Appointment Form (Red Binder III-20)
2. UCSB Biography form
3. Updated curriculum vitae to the Graduate Division. A UCSB biography form and appropriate Affirmative Action paperwork (Red Binder V 1) must also be completed. In addition, the "Postdoctoral Scholar Classification" flowchart listed under "Tools" at <https://www.graddiv.ucsb.edu/postdocs/> may be helpful in determining if the candidate is appropriately appointed as a Postdoctoral Scholar.

**IV. Term of Appointment**

- A. Appointment must be made at 100% time. In special situations, exceptions may be granted by the Dean of the Graduate Division. Please note that if a Postdoctoral Scholar has an H-1B visa, an amendment to the H-1B must be filed reflecting the appointment percentage.
- B. Appointments are normally made for one year at a time but may be made for up to three years at a time if reasonable assurance of funding is available. The total duration, including

postdoctoral service at other institutions, may not exceed five years.

## V. Compensation and Advancement

- A. If an extramural granting agency will provide less than the minimum salary for the title, the faculty mentor must arrange additional funding prior to the beginning date of the appointment in order to provide the minimum salary. (see Salary Scale 25)
- B. Postdoctoral Scholar- Fellows or Postdoctoral Scholar-Paid Directs may have their salary supplemented through use of the Postdoctoral Scholar-Employee title. At no time may the combined salaries exceed the maximum of the salary scale.
- C. Mentors shall conduct annual reviews of all Postdoctoral Scholars. A written copy of the evaluation must be provided to the Postdoctoral Scholar upon request, with a copy also submitted to the Graduate Division. *kept in the department files and made available to the Graduate Division upon request.*
- D. Sick leave is accrued at a rate of eight hours per month for a full- time appointment. See APM 390 for complete policy concerning accrual, usage and carry forward of sick leave. Postdoctoral Scholars do not accrue vacation but rather are expected to take time off during intersession and recess period (APM 390-61).

## VI. Grievance Procedure

Procedures for non-senate academic grievances (Red Binder III-35) apply to Postdoctoral Scholars with the exception of Step IIIb review by hearing. Postdoctoral Scholars are limited to Step IIIa, Administrative Review.

## VII. 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 days notice of layoff. Pay in lieu of notice may be given. The Postdoctoral Scholar may request a written summary concerning unavailability of funds. Layoff decisions may be appealed in accordance with grievance procedures as outlined in Section VI above.

## VIII. Corrective Action and Dismissal

Corrective action 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. Corrective action 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. Reduction in salary or stipend for a stated period of time.
- D. Other actions consistent with requirements of extramural fellowship agencies.

Prior to corrective action or dismissal, informal efforts should be made to resolve problems.

When appropriate, a Postdoctoral Scholar may be placed on immediate investigatory leave without pay (APM 390-50 f).

Appropriate notice for corrective action or dismissal must be given. APM 390-50 g through l must be followed.

**IX. Approval Authority**

<u>Action</u>	<u>Authority</u>
Postdoctoral Scholar- Employee	<b>Department Chair/</b> Unit Director
Postdoctoral Scholar- Fellow	<b>Department Chair/</b> Unit Director
Postdoctoral Scholar- Paid Direct	<b>Department Chair/</b> Unit Director
All Exception requests	Dean, Graduate Division

**X. Postdoctoral Scholars Grandfathered in the Postgraduate Researcher title (TC 3420)**

Postdoctoral Scholars appointed prior to July 1, 2003 in the Postgraduate Researcher title are subject to all Postdoctoral Scholar policies with the following exceptions:

Postdoctoral Scholar sick leave (APM 390-60) and time off (APM 390-61) provisions are not applicable to appointees in the Postgraduate Researcher title. Appointees accrue in accord with academic accrual rates (Red Binder VI-8) .

No new appointment may be made in this series.

Reappointments or merits are requested using the Temporary Academic Appointment Form Letter (Red Binder III-3) Note that the title will be phased out as of June 30, 2010.

The Vice Chancellor for Research has approval for all actions concerning these titles.

III-19  
INSTRUCTIONS FOR COMPLETION OF THE  
POSTDOCTORAL SCHOLARS APPOINTMENT FORM PROCESS  
(Revised 01/08 2/08)

Form is to be used for appointment as:

Postdoctoral Scholar-Employee (3252): Payment made via the University payroll system, *appointment in PPS with salary.*

Postdoctoral Scholar-Fellow (3253): Payment made through a University fellowship account, according to the requirements of the fellowship; appointment in PPS may be with salary or without salary (*i.e.* funds *are* paid as a stipend) depending on the fund source.

Postdoctoral Scholar-Paid Direct (3254): Payment made directly by the granting agency to the *Postdoctoral Scholar postdoc*; appoint without salary in PPS.

Checklist for submission of the hire packet:

- Review the information concerning exceptions at : <https://www.graddiv.ucsb.edu/postdocs/>:  
**All exceptions require approval by the Dean of the Graduate Division**
- Complete Postdoctoral Scholar Appointment form (Red Binder III-20). *The form must be signed and dated by both the Postdoctoral Scholar and the Department Chair/Unit Director.*
- ~~Have Postdoctoral Scholar and Department Chair/Unit Director sign and date form~~
- For all initial new hires*** include *the following* additional *appropriate* paperwork:-
  1. UCSB Biography form *signed and dated by the Postdoctoral Scholar*
  2. *Up to date CV attached, (initial appointment only)*
  3. *Attachment A: Recruitment, Search and Hiring information. A copy of this form must also be sent to the Office of Equal Opportunity, Phelps Hall, room 3217 (A), mail code 2060.*
  2. *Recruitment paperwork for appointments in title code 3252 with appointment length of one year or more;*
    - a. ~~Completed Summary B form; or~~
    - b. ~~Request and obtain an endorsement of exception to open recruitment from the Equal Opportunity Office prior to sending the packet. Include the endorsement with the packet.~~
- Maintain copy of all paperwork for the departmental file.
- Send *entire original* packet to: Postdoctoral Scholar Coordinator  
Graduate Division  
3117 Cheadle Hall  
MC 2070
- ~~If exceptions are requested, the Graduate Division will notify the department of approval by returning a copy of the signed Postdoctoral Scholars Appointment Form to the department.~~  
*The hiring department will be notified via e-mail when all necessary paperwork has been reviewed and processed. The Graduate Division will provide a copy of the appointment form to the Benefits*



Office.



Enter appointment into PPS if there were no exceptions requested. If exceptions were requested, wait for e-mail approval notification from Graduate Division and then enter appointment into PPS.

III-20  
POSTDOCTORAL SCHOLARS APPOINTMENT FORM

(Revised 08/07-02/08)

Date: \_\_\_\_\_

**Departmental Contact:**

Name: \_\_\_\_\_  
Department: \_\_\_\_\_  
Extension: \_\_\_\_\_  
E-mail address: \_\_\_\_\_  
Mail code: \_\_\_\_\_

For Graduate Division Use Only:

Received:

EC:

**I. ALL APPOINTMENTS**

New appointment *or*  Reappointment

**A. Appointee information**

Postdoctoral Scholar name: \_\_\_\_\_  
*e-mail:* \_\_\_\_\_  
Department/Research Unit: \_\_\_\_\_  
Name of faculty/researcher mentor: \_\_\_\_\_  
Appointment begin date: \_\_\_\_\_  
Appointment end date: \_\_\_\_\_

**B. Salary information**

Annual salary/fellowship: external sources: \_\_\_\_\_  
Annual salary/fellowship: university sources: \_\_\_\_\_  
Total salary/fellowship: all sources: \_\_\_\_\_

(Total must fall within the approved UC salary scale for Postdoctoral Scholars: Table 25)

**C. Appointment type:**

- Title Code 3252: Postdoctoral Scholar-Employee. Payment made via the University payroll system.
- Title Code 3253: Postdoctoral Scholar-Fellow. Payment made through a University fellowship account, according to the requirements of the fellowship, appointment in PPS may be with salary or without salary (funds paid as a stipend) depending on the fund source.
- Title Code 3254. Postdoctoral Scholar-Paid Direct: Payment made directly by the granting agency to the postdoc; appoint without salary in PPS.

**D. Check boxes to verify that the following apply to this appointment:**

**For any unchecked boxes in section "D" additional justification must be provided in Section II.**

- The individual has been awarded a doctoral degree or foreign equivalent within the past five years.
- The primary purpose for the hire is to provide an advanced academic and research training opportunity to the individual under the direction of a faculty mentor.
- The appointment is for 100% time.
- The appointment is for one year or longer.

**II. EXCEPTIONS:**

Check all that apply to this appointment and provide justification for each below.

Open Recruitment; attach endorsement from Office of Academic Preparation and Equal Opportunity.

\_\_\_\_\_  
Postdoctoral Scholar Name                      Signature                      Date

\_\_\_\_\_  
Chair/Director Name                      Signature                      Date

\_\_\_\_\_  
Dean of Graduate Division Name                      Signature                      Date  
(if exception requested and approved)

Mail **original** hire packet to:  
Postdoctoral Scholar Coordinator  
Graduate Division  
3117 Cheadle Hall  
MC 2070

**III. STATEMENTS OF UNDERSTANDING**

**Appointment Statement:** "This is a temporary appointment and any renewal or extension is dependent upon programmatic needs, availability of funding and satisfactory performance. As with any temporary appointment there is no guarantee or obligation on the part of the University for renewal or extension."

\_\_\_\_\_  
Initial & Date

**Visa/Work Permit Statement:** "I understand that employment at UCSB requires valid work authorization as needed with assistance from my employing department and the Office of International Students and Scholars, and that it is my responsibility to maintain and renew my work authorization as needed."

\_\_\_\_\_  
Initial & Date

**Benefits Statement:** You have thirty days upon your initial date of hire to enroll in health benefits. The Postdoctoral Scholar Benefits Plan (PSBP) information and enrollment instructions can be found at:  
<http://www.garnett-powers.com/POSTDOC/>

\_\_\_\_\_  
Initial & Date

The University of California prohibits discrimination against or harassment of any person employed by or seeking employment with the University on the basis of race, color, national origin, religion, sex, gender identity, pregnancy, physical or mental disability, medical condition (cancer related or genetic characteristics), ancestry, marital status, age, sexual orientation, citizenship, or status as a covered veteran. The University of California is an affirmative action/equal opportunity employer. The University undertakes affirmative action to assure equal employment opportunity for minorities and women, for persons with disabilities, and for covered veterans. University policy is intended to be consistent with the provisions of applicable State and Federal laws.

**Attachment A: Recruitment, Search and Hiring Process Information  
Required for all initial, new hires**

Include a completed, original copy of this form in the hiring packet sent to the Graduate Division. A copy of this form must also be sent to the Office of Equal Opportunity (OEO), Phelps Hall, room 3217 (A), MC 2060.

Postdoctoral Scholar name: \_\_\_\_\_  
 Department/Research Unit: \_\_\_\_\_  
 Name of faculty/researcher mentor: \_\_\_\_\_

In order to provide the University, and federal and state funding agencies with accurate recruitment records, please complete the following:

Was an open search conducted?  
 Yes or  No

If no, how was this candidate selected:  
 Area of specialty  
 Former collaborations  
 other, please explain:

If yes, please fill out the following:

Advertisement:

List publications, list-serves or other recruitment sources that were used:

Indicate which of the above-mentioned recruitment sources are addressed particularly to women and underrepresented populations

Applicants:

List by rank order names of finalists who were interviewed . Place an asterisk by the name of applicant selected.

Names of Finalists	Gender			Ethnicity					
	Male	Female	Unknown	White	African American	Asian	American Indian	Hispanic	Unknown
A.									
B.									
C.									
D.									
E.									
F.									

If a minority or a woman was included among the finalists and was not selected, please explain why not:



III-23  
**VISITING RESEARCH APPOINTMENTS**  
(Revised 08/07 04/08)

**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.

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 or the Project Scientist series. When the title with the Visiting prefix is assigned to an individual on leave or retired from another institution, the title will usually be the same 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.

**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 may be made on a paid or without salary basis. 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 Researcher 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.

When an individual is paid an academic- year salary at their home institution and a visiting researcher appointment is proposed, the following formula is used to convert the salary:

$$\text{Salary at home institution} \times 1.16 = \text{salary for fiscal- year visiting appointment}$$

Visiting appointments may also be made without salary. See VIII below for procedures relative to without salary research appointments

**V. Appointment process**

Requests for salaried appointment in the Visiting Researcher series or Visiting Project Scientist series should be prepared using the Temporary Academic Appointment Form Letter (Red Binder)

III-3). A UCSB Biography form and a CV must also be submitted.

Requests for without salary appointments may be made using the Without Salary Visiting Research Form letter (VIII, below).

**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**

<u>Action</u>	<u>Authority</u>
All actions	Vice Chancellor for Research

**VIII. With out Salary Visiting Research Form Letter**

For research appointments that are without salary and do not require a payroll appointment be processed (Red Binder VI-21), submit this letter along with a signed Patent Acknowledgment to the Vice Chancellor for Research.

This letter will provide sufficient justification for Workers Compensation claims and will establish eligibility for library, and parking privileges for the individual, and UCSBnetID based privileges. The Departmental Directory Editor should be given a copy of the letter in order to facilitate the UCSBnetID process.

Date

TO: Vice Chancellor for Research  
FROM: Department Chair/Director  
RE: Without Salary Academic Research Visitor

This is to inform you that \_\_\_\_\_ will visit UCSB from \_\_\_\_\_  
(Name) (Dates)  
\_\_\_\_\_ is visiting from the University of \_\_\_\_\_ and  
(Name) (Home institution)  
will be working with \_\_\_\_\_ in our department/unit on a research project:  
(Sponsoring Faculty)  
entitled: \_\_\_\_\_ will be reimbursed for travel  
(title of research project) (Name)  
and living expenses consistent with University regulations but will not receive any salary from  
UCSB. The department also plans to pay for his/her parking permit while he/she is on campus.  
Space will be provided in \_\_\_\_\_ laboratory and \_\_\_\_\_ may  
(Sponsoring Faculty) (Name)  
be reached at \_\_\_\_\_. A copy of this letter will be provided to Parking Services and  
(phone)  
the UCSB Library to establish eligibility.

Attached please find a signed Patent Agreement.



Name of visitor: \_\_\_\_\_

Phone: \_\_\_\_\_ e-mail: \_\_\_\_\_

Dates of visit: \_\_\_\_\_ (one year maximum)

Working title, if applicable: \_\_\_\_\_

Department/ORU: \_\_\_\_\_

Reason for visit: \_\_\_\_\_

\_\_\_\_\_

Space to be provided: \_\_\_\_\_

Sponsoring Faculty member: \_\_\_\_\_

Phone: \_\_\_\_\_ e-mail: \_\_\_\_\_

As appropriate, continue with: \_\_\_\_\_

\_\_\_\_\_ may be reimbursed for travel and living expenses consistent with University regulations but will not receive any salary from UCSB.

The department also plans to pay for his/her parking permit while he/she is on campus.

**POLICIES ON OPEN RECRUITMENT FOR ACADEMIC APPOINTMENTS**

(Revised 05-07 04/08)

**I. References**

- A. The current Affirmative Action policies and procedures have evolved over many years of implementation at UCSB. While not included here, the Office of Equal Opportunity keeps main historical records that provide the background for the current policies, procedures and practices. Copies of these historical records may be obtained by calling 893-2701.
- B. University of California Affirmative Action Guidelines for Recruitment and Retention of Faculty, Office of the President, Academic Advancement, January 2, 2002.  
<http://www.ucop.edu/acadadv/fgsaa/affirmative.html>

**II. Academic Titles Covered by Open Recruitment Policies**

Including but not limited to the following series:

- All Ladder faculty, including Acting
- Supervisor of Physical Education
- Academic Administrator
- Academic Coordinator
- Librarian and University Librarian
- Lecturers and Senior Lecturers with Security of Employment or Potential Security of Employment
- Academic titles covered by the Unit 18 Memorandum of Understanding
- Continuing Education Specialist--University Extension
- Continuing Educator--University Extension
- Professional Research (including Visiting), Project Scientist (including Visiting), Specialist
- ~~Postdoctoral Scholar Employee, Visiting Postdoctoral Research, Postgraduate Research~~

**III. Open Recruitment Policy for Non Unit 18 and Non-Senate Academic Titles**

An open recruitment is required when the academic appointment is at least 50% of full time and for one academic or calendar year. Both conditions must be met for the policy to apply.

A new open recruitment is not required for reappointment without a break in service to the same position by the same individual.

Open recruitment is required for a temporary position where there is reasonable expectation of reappointment with the total consecutive appointments meeting the above conditions.

Example: Appointment A is originally at 50% time for two quarters. However, there is a possibility that this appointment may be extended for at least one more quarter (a third quarter) at 50% time. This policy requires an open recruitment for Appointment A at the time of original appointment.

#### IV. Open Recruitment Policy for Unit 18 Academic Titles

An open recruitment is required when a temporary academic appointment in a Unit 18 title may extend beyond a second quarter in the same department, regardless of the percent of time or year of reappointment.

#### V. Open Recruitment Policy for Senate Titles

An open recruitment is required for all Academic Senate titles.

#### VI. Exemptions to Open Recruitment Policies

- A. Ladder rank faculty who hold temporary academic administrator positions for a limited time (Director, Associate Dean, Dean), Ladder Rank Faculty-Recalled.
- B. Visiting Ladder Rank Faculty
- C. Appointees within Unit 18, who have previously undergone open recruitment in the same department for a Unit 18 position.
- D. Positions requiring student status, e.g. teaching assistant, *graduate student researchers*, ~~research assistant,~~ ~~tutors~~.
- E. The proposed appointee is the principal investigator or co-principal investigator of a grant/contract. Supporting evidence need not be submitted but must be available in the department's recruitment file.
- F. Non-salary appointments.
- G. *Postdoctoral Scholar appointments*.

#### VII. Exceptions to Open Recruitment Policies for Non-Senate Titles

Open recruitment available to all qualified applicants is a preferred hiring mechanism since it provides substantial assurance of the quality of the individual offered a position. However, special circumstances may on occasion justify an exception to open recruitment. Some examples of special circumstances are:

- A. Unexpected circumstances resulting in insufficient time to recruit: e.g., funding becomes available only a short time before the begin date of appointment, unexpected illness, leave of absence of faculty.
- B. The proposed appointee, who is not a principal investigator or co-principal investigator, has been named in the grant/contract for a specific task.
- C. Initial hire or retention of ladder faculty member includes spousal or domestic partner employment.
- D. An open recruitment is not likely to yield a better qualified applicant than the proposed candidate, who possesses the skills, knowledge, and abilities unique to the teaching assignment or research project, making him/her essential to its success.

When applicable, the hiring department may submit a request for an exception to open recruitment policies.

- For temporary teaching positions, the requests for exception are directed to the Dean, via the Director of Equal Opportunity.
- For research titles, the requests for exception are directed to the Vice Chancellor for Research, via the Director of Equal Opportunity.

An exception to open recruitment policies with a specific end date is valid only for the duration granted. For reappointment after the exception has expired, the department must conduct an open recruitment or secure approval of a new exception to policy.

### **VIII. Exceptions to Open Recruitment for Senate Faculty**

The initial hire or retention of a Senate faculty member may involve a hire for a spouse or domestic partner. In addition, unanticipated opportunities may arise for a ladder faculty appointment of an individual whose unique qualifications and outstanding promise or accomplishment will make such an extraordinary contribution to the campus' goals of excellence and diversity. Such hires should normally be part of an open recruitment. However, in those instances when an FTE has not been approved to fill or an open search has not taken place, departments may request an exception to open recruitment. The departmental letter should clearly state which category of exception to open recruitment is being requested. The department must take a vote to request an exception to open recruitment and the vote must be reported in the departmental request. The department's request must include 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. The Dean should also address these three issues as well as the programmatic and budgetary impact within the department and on a divisional or college wide basis.

Requests for exception are directed to the Executive Vice Chancellor, via the Dean. Requests will also be reviewed by the Director of Equal Opportunity, the Council on Planning and Budget, and the Committee on Academic Personnel.

**SUMMARY B  
RECRUITMENT ACTIVITIES FOR RESEARCH TITLES  
UNIVERSITY OF CALIFORNIA, SANTA BARBARA**

(Revised 05/07 04/08)

Recruiting Department

Name of Recommended Appointee

Rank of Appointment

/ Position Number

Ethnicity

Gender

Today's date

Length of Appointment

Effective Date of Appointment

1. List by rank order names of finalists who were interviewed . Place an asterisk by the name of applicant selected.

Names of Finalists	Gender			Ethnicity					
	Male	Fem	Un-known	White	Black	Asian	Amer. Indian	His-panic	Un-known
A.									
B.									
C.									
D.									
E.									
F.									

2. If a minority or a woman was included among the finalists and was not selected, please explain why not:

3. Please indicate any recruitment sources used in addition to those mentioned in the Recruitment Plan submitted earlier.

Form prepared by: \_\_\_\_\_

Phone extension: \_\_\_\_\_

**APPROVALS:**

\_\_\_\_\_  
Department Chairperson/Director

\_\_\_\_\_  
Date signed

\_\_\_\_\_  
Director of Equal Opportunity

\_\_\_\_\_  
Date signed

\_\_\_\_\_  
Vice Chancellor for Research  
(not required for Postdoctoral Scholar appointments)

\_\_\_\_\_  
Date signed

Please attach to this form: 1) Recruitment Plan (form AA 100), and text of ad; 2) Mailing lists (if any) and other relevant recruitment info.



VI-10  
ADDITIONAL COMPENSATION  
 (Revised **05/07 04/08**)

General Policies

Reference: APM 660

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.

On this campus, 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 are made at the 1/9th rate up to a **maximum of 3/9ths per summer**. 1/9th may or may not be equal to one month, depending on the type of payment and calculation method used.

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, Extension teaching, lectures given on other UC campuses and faculty consulting. The following University activities may be sources of additional compensation. (The correct DOS code or form of payment is listed in bold for each type of service).

<u>Type of service</u>	<u>Off-quarter period</u>	<u>Academic Year</u>
Summer Session Teaching ( <b>OLS</b> )	allowed	not allowed
University Extension and Off-Campus Studies teaching ( <b>UNX</b> )	allowed Subject to APM 025 limits	Subject to APM 025 limits
Faculty consultant services ( <b>BYA</b> )	allowed	allowed
Lectures and similar services at other than home campus ( <b>Intercampus one time payment form</b> )	allowed	allowed up to \$2,000 per event to a total of 10% of the annual salary
Extramurally funded research ( <b>OLN off-quarter, REG academic year</b> )	allowed	allowed only as release time
Fellowship or other University awards ( <b>OLN/ACF off quarter, REG academic year</b> )	allowed	allowed only as release time
Department Chair Stipends ( <b>ACA off-quarter, STP academic year</b> )	allowed	allowed

Other than the above listed types of service, Academic appointees may not be employed beyond 100% except in rare and unusual circumstance. Such requests must have prior approval from the Associate Vice Chancellor for Academic Personnel and from Human Resources if a staff position is also involved.

Additional compensation for the summer period is calculated using one of two calculation methods. The "Daily Factors" (19-day Chart) or the "Partial-Month Payment" Chart. These charts are used to determine the number of summer days that will be used to make the payments. Each day during the summer can only be used once and the total percent time for each day may not exceed 100%. See Red Binder VI- 12 for Chart #1 and Red Binder VI- 13 for Chart #2.

Charts and PPS codes

<u>Source of Reimbursement</u>	<u>Chart</u>	<u>Fixed/Variable code</u>	<u>Time code</u>
Extramural and other non-19900 funds	1	V	Z
19900 funds	2	F	R

Along with the charts, it is also necessary to know the dates available for payment of additional compensation during the summer. 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 maximum allowable days in each month of the summer period. This information will be updated on an annual basis

Dates for 2007 Additional compensation

<u>Month</u>	<u>Number of Days</u>	<u>% time 19900</u>	<u>% time grants</u>
June 18-30	10	.4762	.5263
July 1-31	22	1.0000	1.1579
August 1-31	23	1.0000	1.2105
Sept. 1-21	15	.7500	.7895

Dates for 2008 Additional compensation

<u>Month</u>	<u>Number of Days</u>	<u>% time 19900</u>	<u>%time grants</u>
June 16-30	11	.5238	.5789
July 1-31	23	1.0000	1.2105
August 1-31	21	1.0000	1.1053
Sept. 1-19	15	.6818	.7895



VII-13  
POLICY ON CONFLICT OF INTEREST AND GRADUATE EDUCATION  
(04/08)

**I. References**

- A. Conflict of Commitment and Outside Professional Activities of Faculty Members APM-025 (7/01)  
<http://www.ucop.edu/acadadv/acadpers/apm/apm-025-07-01.pdf>
- B. University Policy on Disclosure of Financial Interest in Private Sponsors of Research APM-028 (4/84)  
<http://www.ucop.edu/acadadv/acadpers/apm/apm-028.pdf>
- C. Office of Technology Transfer Guidelines on University-Industry Relations (5/89)  
<http://www.ucop.edu/ott/genresources/unindrel.html>
- D. Principles Regarding Rights to Future Research Results In University Agreements With External Parties (8/99) <http://www.ucop.edu/ott/genresources/principles.html>
- E. Report of Advisory Group #2: UC/Industry Relationships and Education of Students, President's Retreat on Working with Industry (1/97)  
<http://www.ucop.edu/ott/retreat/tabofcon.html>

**II. Purpose, Background, and Guiding Principles**

This policy affirms joint student and faculty responsibilities, as members of the University of California, in relationship to potential conflicts of interest and provides mechanisms to ensure that outside activities are consistent with University policy. Specifically, this policy seeks to identify cases where a faculty member's financial interest may have negative effects on a student's academic interests.

Opportunities for graduate students to work in the private sector as part of their education are rapidly increasing. The experience and feedback these experiences provide complement their academic curricula and enhance its relevance. Opportunities and benefits of such collaborations may include a sense of the private sector's needs and future directions; exposure to the most recent specialized research within a particular field; opportunities to apply theory to "real-world" problems; access to cutting-edge equipment and lab resources; opportunities to enhance work skills, such as critical thinking, communication, business acumen, and team participation; increased understanding of career possibilities and potential career directions.<sup>1</sup>

**Guiding Principles**

When considering the appropriateness of graduate student participation in particular research projects with the private sector the following principles apply:

---

<sup>1</sup> From the Report of Advisory Group #2: UC/Industry Relationships and Education of Students, President's Retreat on Working with Industry (1/97).

A. Open Academic Environment

Student involvement with the private sector should enhance their educational experience and not unduly influence or restrict their academic choices. Specifically, a student must retain the ability to move freely from advisor to advisor and to change topic areas or research direction free from influence or pressures outside the realm of scientific appropriateness and personal choice. A student's field of research should not be significantly narrowed or limited as a result of involvement with the private sector, nor should such involvement result in significant limitation of post-graduate employment. All University research, including research sponsored by industry, is governed by the tradition of the free exchange of ideas and timely dissemination of research results. The University is committed to an open teaching and research environment in which ideas can be exchanged freely among faculty and students in the classroom, laboratory, informal meetings, and elsewhere.

B. Freedom to Publish

Freedom to publish and disseminate results are major criteria for assessing the appropriateness of any research project, particularly those involving graduate students. Consistent with the mission of the University, the integrity of a student's academic experience shall be preserved, including the ability to complete and publish a thesis or dissertation and to freely publish, present, or otherwise disclose the results of research both within the academic community and to the public at large. The University precludes assigning to extramural sources the right to keep or make final decisions about what may or may not be published with respect to a research project<sup>2</sup>. Within this general understanding, the University also realizes that circumstances may arise where certain restrictions or limitations may be appropriate. Short, reasonable delays may be appropriate, for example, to allow the research sponsor to review publications for inadvertent disclosures of proprietary data or potentially patentable inventions. In all cases, however, these limitations or restrictions may not be more restrictive than those borne by faculty conducting similar research under University auspices.

C. Right to Conduct Future Research

A graduate student's ability to use research results in future research and educational activities shall not be impaired.

D. Outside Professional Activities

Faculty are encouraged to engage in appropriate outside professional activities (as defined in APM-025). Graduate students also can benefit from participating in such activities with faculty members. Faculty members should be careful to ensure that the student's thesis or dissertation work is not unreasonably compromised as a result of such involvement.<sup>3</sup>

---

<sup>2</sup> From the OTT Guidelines on University-Industry Relations and UC Systemwide Policy as outlined in the UC Contract and Grant Manual.

<sup>3</sup> From the OTT Guidelines on University-Industry Relations and UCOP Principles Regarding Rights to Future University Agreements With External Parties.

E. Responsibility to Students

University regulations guide the academic rights and responsibilities of students, and responsibility for adherence to these principles rests with the faculty. The University is committed to protecting the educational interests of students and maintaining an open environment free from undue influence of private outside interests. The advice and guidance given to students by faculty or staff members (including the nature and direction of research or other studies as well as employment opportunities outside the university) should always be governed by what is in the best academic interests of the student.

**III. Definitions**

"Private entity" means any non-governmental entity, except those entities exempted from the University's non-governmental financial disclosure requirements. The list of exempt entities can be found at <http://www.ucop.edu/research/exempt.html>.

"Financial interest" means:

(a) An investment in a private entity, by the faculty member or a member of the faculty member's immediate family (spouse/registered domestic partner or dependent children), worth more than \$10,000, including stock options and profit sharing; or

(b) A position in a private entity as an employee, director, officer, partner, consultant, trustee, or any management position; or

(c) Income from a private entity, including consulting income, totaling \$10,000 or more in value within a 12-month period.

"Academic interest" means:

Academic interest refers to the integrity of a student's academic experience. A student's academic interests include: the ability to move freely from advisor to advisor and to change topic areas or research direction free from influence or pressures outside the realm of scientific appropriateness and personal choice; the ability to complete and publish a thesis or dissertation and to freely publish, present, or otherwise disclose the results of research both within the academic community and to the public at large; and the ability to use research results in future research and educational activities.

**IV. Disclosures**

In order to protect a student's academic interests, faculty members and students need to disclose certain agreements or arrangements where conflicts with these interests may arise. Such disclosure should take place at any time the agreements or arrangements set forth below arise.

When these agreements or arrangements are disclosed, procedures will be initiated to determine whether the agreements or arrangements are consistent with the student's academic interests. If not, consideration will be given to methods of resolution of these conflicts.

The following agreements or arrangements should be disclosed to the Dean of the Graduate Division as soon as the student becomes aware of the facts giving rise to the disclosure obligation:

i) Agreements or arrangements between a student and a private entity involving research activities by the student, where the University or a mentor/research/thesis/dissertation advisor is a party to the agreement or arrangement, *and* the student's mentor/research/thesis/dissertation advisor has a financial interest in the private entity.

*And one or more of the following is true:*

- a) The research activities are related to the student's thesis/dissertation, or
- b) There are restrictions on the student's ability to publish, present, or otherwise disclose the findings from their research activities.

When students enter into any private arrangements, they should take into account obligations they may have to the University (such as employment) and ensure that conflicts do not arise which could violate those University obligations.

## **V. Responsibilities**

### **A. Graduate Division**

This policy and ancillary information is in the Graduate Handbook [www.graddiv.ucsb.edu/academic/handbook](http://www.graddiv.ucsb.edu/academic/handbook), published by the Graduate Division. The Graduate Division shall:

- i. Annually send graduate students an electronic communication that provides the URL to the Policy on Conflict of Interest and Graduate Education.
- ii. Work with students and departments in the event that formal procedures detailed herein are initiated.

### **B. Academic Unit**

The academic unit shall:

- i. Communicate at least once per year, in a format of the unit's choosing, about the University's Policy on Conflict of Interest and Graduate Education as well as the procedures designed to protect the academic interests of the student.
- ii. Notify graduate students of the identity of a designated resource person (typically the Graduate Advisor) who is available to advise students in circumstances in which there is a perceived or potential conflict of interest. Have the designated resource person in the academic unit serve as the departmental representative in all matters related to the conflict of interest issue as it pertains to graduate students.
- iii. Include this policy in the departmental student handbook.

The department chair of the academic unit is responsible for ensuring that faculty members and students are familiar with the ways in which the policy might impact a mentor/research/thesis/dissertation advisor's relationship with a graduate student. The department chair shall:

- iv. Ensure that faculty members have submitted the required disclosures (see Red Binder <http://ap.ucsb.edu/policies.and.procedures/red.binder/red.binder.pdf>) and obtained

approvals required pursuant to APM-025 for involvement of graduate students in outside compensated activities.

C. Mentor/Research/Thesis/Dissertation Advisor

Each faculty member serving as a mentor/research/thesis/dissertation advisor to a graduate student shall:

- i. Disclose any conflict of interest that might in any way be pertinent to the research conducted by the student (using criteria as outlined in this policy and APM-028, regardless of whether the private entity is sponsoring research at the University.)
- ii. Notify the student and the designated resource person in the department of his or her conflict of interest in a timely manner ("Timely manner" means that the faculty member should notify the departmental representative and the student at the time that the student is being employed as a research or teaching assistant, forming a graduate committee, considering a thesis or dissertation topic, whichever comes first.)

**VI. Procedures**

Disclosure Process

A. The Graduate Student Conflict of Interest procedure will be communicated from the Graduate Dean to graduate students each academic year. A conflict of interest may be reported through two basic avenues:

- i. All graduate students completing a thesis or dissertation must submit Graduate Division's Master's Form I and Doctoral Form I. [downloadable at <http://www.graddiv.ucsb.edu/pubs/>] The Graduate Student Conflict of Interest (COI) Form for disclosure is embedded in the Graduate Division's Master's Form I and Doctoral Form I.
- ii. In addition, at any time, through a formal or informal process at the level of the academic unit, a stand-alone COI Form [downloadable at <http://www.graddiv.ucsb.edu/pubs/>] may be submitted by any of the following parties: the graduate student, the faculty mentor/research/thesis/dissertation advisor, a departmental representative/Graduate Advisor, or the campus Conflict of Interest Committee.

In addition to consulting the departmental representative/Graduate Advisor, a student may at any time seek the advice of one of the identified campus-wide resource persons, who include the Dean of the Graduate Division, Assistant Dean of the Graduate Division, the Director of Academic Services in the Graduate Division, and the Conflict of Interest Coordinator in the Office of Research.

B. Graduate Student Conflict of Interest Forms shall be submitted to the Dean of the Graduate Division for review.

Review Process

The Dean of the Graduate Division or designee shall review each form submitted. Those containing a positive disclosure will be reviewed in greater depth to determine whether the Graduate Student Conflict of Interest Subcommittee review of the disclosure is required.

- i. If the conflict of interest poses **minimal risk** of harm to the academic interests of the student, then the Graduate Dean or Dean's designee shall write a brief statement to that effect, and shall include a summary of the situation and the reasons for the decision. If there is agreement with the risk statement, the Department Chair, the student, and faculty member who has a conflict of interest shall co-sign the statement. Upon acceptance by the Dean or Dean's designee, the signed statement shall then be forwarded to the department for placement in the student's academic file; a copy will also be retained by the Dean of the Graduate Division with copies forwarded to the co-signers. Should any party become aware of new information impacting the academic interests of the student, the minimal risk statement should be reassessed and a new COI Form submitted by the department to the Graduate Division. If, on the other hand, the Department Chair, student, or the faculty member does not agree with the statement after suitable revisions have been attempted, the conflict of interest matter should then be referred to the Graduate Student Conflict of Interest Subcommittee for final resolution.
- ii. If the conflict of interest issue includes a component that may be harmful to the student, then the Dean of Graduate Division will refer the matter to the Graduate Student Conflict of Interest Subcommittee.

#### Subcommittee Review Process

Reviews will be performed by the Graduate Student Conflict of Interest Subcommittee ("Subcommittee") consisting of the Chair of the Conflict of Interest Committee, the Conflict of Interest Coordinator in the Office of Research, and the Dean of the Graduate Division or his or her designee. The Subcommittee shall meet as necessary.

When a disclosure is submitted for Subcommittee review, the Subcommittee shall have the following options:

- 1) Approve the project<sup>4</sup> (determine that no obvious conflict of interest is present);
- 2) Conditionally approve the project to manage the conflict, subject, but not limited to, conditions such as the following:
  - Further management by, or reporting to, an appropriate Dean, Chair, or *ad hoc* departmental committee formed for such purpose;
  - Periodic reports back to the Subcommittee on steps taken to manage the conflict;
  - Divestiture of the financial interests that cause the conflict;
  - Recommendation that the Graduate Dean work with the Department to find a substitute on the student's dissertation or thesis committee for the faculty member with a conflict;

---

<sup>4</sup> A project could be, but is not limited to, a textbook, software, scientific or engineering innovation, or basic/applied research that would benefit the company's interest.

- Limitation of the length or scope of student's work with industry;
- Adoption of standard UC provisions concerning intellectual property for student's work with industry;
- All student work is to be conducted on-campus;
- Appointment of an additional member to serve on the dissertation or thesis committee as an "Oversight Member." This member is chosen by the Department Chair (or the Graduate Advisor if the Chair is the conflicted faculty member) in consultation with the graduate student and their dissertation advisor. The Oversight Member shall be from a different academic department in a reasonably related discipline.
- Any other condition that the Subcommittee feels appropriate and reasonable to manage the conflict may also be implemented.