

Summary of change:

- I-14 Addition of procedure for without salary inter-campus faculty appointments
- I-17 Delete option of Willow Springs rental
- I-31, I-34 Clarify requirements for APM 025 report in cases
- I-70 Addition of procedures for administrative recall positions and limits on all recall appointments
- II-12 Correction of number of steps increase to be consistent with policy. Other Red Binder references are already correct
- III-12 Technical change to reflect Economics move to Economics/Engineering salary scale
- III-18, III-19 Clarification of paperwork requirements for initial Postdoctoral Scholar appointment
- IV-1 Addition of general information concerning graduate student titles
- IV-6, IV-10 Changing order of sections so that ASE titles are bunched together
- V-26 Update to current policy
- VI-3 Changes in sick leave policy to conform to recent APM changes
- VI-15 Clarification of process for intercampus and multi-campus forms
- VIII-1, VIII-3 Update of FCDA and Regents awards information to be consistent with current program guidelines and processes
- VIII-11 Change of campus minimum for establishment of Endowed Chairs

I-14  
**FACULTY APPOINTMENTS**  
(Revised ~~01/06~~ 09/08)

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

<http://www.universityofcalifornia.edu/senate/manual/blpart1.html#b155>

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

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

### **I. Types Of Appointments**

1. Salaried appointments in a single department or program.
  - a. The appointment is in one department or program
  - b. The faculty member's voting rights are vested in the department or program.
2. Joint salaried appointments in departments or programs.
  - a. Each appointment carries with it a percent of full time and salary in each department or program.
  - b. The faculty member maintains voting rights in each department or program.
  - c. When a faculty member is being considered for a merit or promotion, each department or program must provide a recommendation.

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

### **3. Affiliated faculty status**

A ladder-rank faculty member who participates in instructional activities in a department or program in which he/she does not hold a salaried appointment may receive "affiliated" (i.e. zero percent) status in the "host" department or program.

- a. The faculty member has no voting rights in the host department or program.
- b. The host department or program is not required to vote on the affiliated faculty member's personnel case, but may be asked to provide a statement of departmental activities carried out under the affiliated status.
- c. An affiliated appointment with an indefinite end date may be terminated on the recommendation of a majority of the voting members of the department or program.

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

*Faculty from another UC campus may be given an affiliated (zero percent) appointment at UCSB. A request from the host department indicating the begin and end date of the appointment as well as the reason for the affiliation should be submitted to the Associate Vice Chancellor for Academic Personnel, via the Dean. An appointment letter will be generated but no pps input will be done.*

#### 4. Other "Professor" titles

For appointments of Adjunct or Visiting Professors refer to Red Binder III-21 and II-28. For Emeriti appointments refer to Red Binder I-70.

## II. Appointment Criteria

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

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

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

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

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

Furthermore, it is strongly recommended that the Chair discuss the proposed rank, step, salary level, and start-up expenses of a new appointment with the Dean prior to submitting a recommendation for the appointment.

## III. Letter To Prospective Ladder Appointees

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

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

I am happy to inform you that our Department of \_\_\_\_\_ intends to recommend you for appointment as \_\_\_\_\_ at a salary of \_\_\_\_\_, effective July 1, \_\_\_\_\_. As you know, appointments in the University of California are only made by the Chancellor of the campus after careful review of the departmental recommendation by the Chancellor, in consultation with reviewing agencies, including the

dean of the College and the campus Committee on Academic Personnel, as necessary. Approval of departmental recommendations is not automatic, and departmental recommendations do not constitute actual offers. Following the review process, actual offers of appointment are extended by the Executive Vice Chancellor, Chancellor or Regents as appropriate.

#### **IV. AAU Deadlines**

Department should be mindful of the AAU recruitment deadline of April 30 and the Intercampus deadline of April 1. Please refer to APM 500-16.

#### **V. Offer Deadlines**

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

#### **VI. Other Deadlines**

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

#### **VII. Parallel Processing**

Departments are strongly encouraged to request parallel processing for appointments that involve the use of ad hoc committees. Under parallel processing, the College and the ad hoc committee receive the case simultaneously. In this event, the department must supply a duplicate copy of the "one-of-a-kind" items to the Dean's office.

I-17  
**NEW LADDER FACULTY COMMITMENTS**  
(Revised 04/08 09/08)

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.

## DOCUMENTS TO BE SUBMITTED BY THE CHAIR

ROUTINE MERITS

(Revised 05/07 09/08)

I. **Academic Personnel Review Form** (see Red Binder I-45)

- Is the recommended salary on the published salary scale?
- If the salary is off-scale or above scale is it rounded to the nearest \$100?
- Is the off-scale supplement correct (if applicable), per off-scale general policies (RB I-8)?
- Is the actual vote included (e.g. 10(yes)-0(no)-0(abstentions)-3(not voting))? Is there an indication of how many were eligible to vote?
- Have the appropriate boxes been checked on the form, and are all items indicated as included in the case?

II. **Departmental Letter**

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

- Is the letter signed and dated?
- Is the letter an accurate, concise and **analytical** representation of the case?
- Are all four areas of review covered: teaching, research, professional activity and university and public service?
- Are contributions to diversity and equal opportunity given recognition?

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

See Red Binder I-35 for further information.

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

IV. **Safeguard Statement.**

A signed safeguard must be forwarded with each departmental recommendation. If it is difficult or impossible to obtain this document, the Chairperson should explain the situation and indicate in what manner he/she has attempted to meet the requirements outlined in the form.

- Is it signed and dated?
- If the faculty member is in multiple departments, is a safeguard statement included for each department?
- If there are no confidential documents (e.g. external letters, minority opinion letter), box **7.D.** should be checked.
- Are copies of everything the candidate has provided, or been provided, included with the case?

V. **Bio-bibliographical Update**, following format in Red Binder I-28.

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

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

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

- If the B&P printout is used, is it noted which classes have ESCI's?
- Has the second source of teaching been clearly identified on the coversheet?
- If a self-assessment of teaching was submitted, is it included with the case?

VII. **Sabbatical leave reports.**

- If any sabbatical leaves have been taken during the review period (check the candidate's personnel file to verify) has a copy of the report been included with the case?

VIII. **Outside Activity Reports (APM 025 Appendix C)**

- Is a copy of the report for each academic year within the current review period included?
- Is the academic year clearly indicated?*
- Is the form signed by the candidate and by the Department Chair(s)?*

IX. **Copies of publications.**

It is the responsibility of each faculty member to maintain copies of published research or other creative work and reviews. One set of publications for the review period should be forwarded with the case. Publications submitted with the case, along with teaching evaluations and other single copy items, will be returned to the department upon completion of the review.

- Have all items included in Part I of the bio-bib for the current review period been submitted, including In Press and Submitted items?
- Do all of the titles on the actual publications match those listed on the bio-bib?
- If any publications are missing from the file, is a note included noting which are missing and explaining why?

**DOCUMENTS TO BE SUBMITTED BY THE CHAIR**  
**NON-ROUTINE CASES**

(Revised 05/07/09/08)

**I. Academic Personnel Review Form** (see Red Binder I-45)

- Is the recommended salary on the published salary scale?
- If the salary is off-scale or above scale is it rounded to the nearest \$100?
- Is the off-scale supplement correct (if applicable), per off-scale general policies (RB I-8)?
- Is the actual vote included (e.g. 10(yes)-0(no)-0(abstentions)-3(not voting))? Is there an indication of how many were eligible to vote?
- Have the appropriate boxes been checked on the form, and are all items indicated as included in the case?

**II. Departmental letter of recommendation**

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

- Is the letter signed and dated?
- Is the letter an accurate, extensive, and **analytical** representation of the case?
- If there is a recommendation for an acceleration, are the reasons for the acceleration specifically stated?
- In the case of a negative departmental recommendation, is the basis of the recommendation clearly documented?
- If the case contains extramural letters, are letter writers identified **only** by coded list, with no identifying statements?
- If the case is for a career review, does the letter provide an overview of the career accomplishments as well as analysis of the achievements within the most recent review period?
- Are all four areas of review covered: teaching, research, professional activity and university and public service?
- Are contributions to diversity and equal opportunity given recognition?

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

See Red Binder I-35 for further information.

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

**IV. Safeguard Statement.**

A signed safeguard must be forwarded with each departmental recommendation. If it is difficult or impossible to obtain this document, the Chairperson should explain the situation and indicate in what manner he/she has attempted to meet the requirements outlined in the form.

- Is it signed and dated?
- If the faculty member is in multiple departments, is a safeguard statement included for each department?
- If there are no confidential documents (e.g. external letters, minority opinion report), box **7.D.** should be checked.
- Are copies of everything the candidate has provided, or been provided, included with the case (e.g. redacted letters, list of potential evaluators)?

**V. Bio-bibliographical Update**, following format in Red Binder I-28.

- Is it in the proper format?

- Is the Research section a **cumulative** list of publications (or creative activities) with a line drawn separating all new items from where the bio-bib from the last review case had ended?
- Are the numbers the same as in the previously submitted bio-bib, and have items previously listed as "In Press", "Submitted" been accounted for?
- Are all items, including "In Press", "Submitted", and "In Progress" properly numbered?
- Are all teaching evaluations listed as available in the Teaching section of the bio-bib included with the case?
- If sections other than Research are cumulative, are lines drawn showing what is new since the last successful review?

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

**Extramural Letters**

- Are there at least 6 letters, including letters from UC or UC familiar referees?
- Are at least half of the letters from references chosen by the Chair/Dept independent of the candidate?
- Have all letters been coded? Are the codes also on the copies and the redacted versions?
- If the letters were sent via email, is a copy of the email and any attachment included?
- If redacted copies of the letters were provided to the candidate, is a copy included (one copy only), and did he/she check box 7A on the Procedural Safeguards Statement?

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

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

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

- Do the codes on the letters match the codes on the list and the codes used in the departmental letter?
- Does the list clearly indicate if the referees were candidate, department or jointly selected?
- Are the names of everyone who was asked to write included? For those who did not respond is a reason for no response listed?

VII. **Evaluation of the teaching record.**

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

- If the B&P printout is used, is it noted which classes have ESCI's?
- Has the second source of teaching been clearly identified on the coversheet?
- If a self-assessment of teaching was submitted, is it included with the case?

VIII. **Sabbatical leave reports.**

- If any sabbatical leaves have been taken during the review period (check the candidate's personnel file to verify) has a copy of the report been included with the case?

IX. **Outside Activity Reports (APM 025 Appendix C)**

- Is a copy of the report for each academic year within the current review period included?
- Is the academic year clearly indicated?*
- Is the form signed by the candidate and by the Department Chair(s)?*

X. **Copies of publications.**

It is the responsibility of each faculty member to maintain copies of published research or other creative work and reviews. One set of publications for the review period should be forwarded with the case. Publications submitted with the case, along with teaching evaluations and other single copy items, will be returned to the department upon completion of the review.

- Have all items included in Part I of the bio-bib for the current review period been submitted, including In Press and Submitted items?
- Do all of the titles on the actual publications match those listed on the bio-bib?
- For tenure cases, have you included all publications?
- If any publications are missing from the file, is a note included noting which are missing and explaining why?
- For other career reviews (promotion to Professor, to Step VI, to Above Scale), are all publications since last review, and all or a representative sample of publications from the prior record included?

XI. **Department Representative Nomination** (see RB I-60)

For promotions to tenure only, forward this memo directly to the Associate Vice Chancellor of Academic Personnel, marked "Confidential". The memo is not part of the case.

I-70  
**PROCEDURE FOR RECALL OF PROFESSOR EMERITUS**  
(Revised 04/08 09/08)

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. *Appointments may not exceed 43% time. Exceptions to this limit may be granted only by the Chancellor and will rarely occur.* A faculty member considering returning on a recall basis in the quarter immediately following retirement should consult with the benefits office.

Requests for 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 UCSB Academic Biography form if there have been changes since the last appointment. *In addition 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.*

### **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. 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, converted to an 11/12 basis (multiply the current 9/12 rate x 1.16).

### **III. Administrative appointments**

*Recall appointments will be approved for administrative service only in rare and unusual circumstances and may be approved only by the Associate Vice Chancellor for Academic Personnel. Terms of such appointments will be individually set based on the nature of the service.*

### **III IV. 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-12  
NON-SENATE FACULTY CHECKLIST  
FOR YEARS 1-6  
(Revised ~~11/06~~ 09/08)

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

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

**I. Departmental Recommendation**

- Is the salary rate on the Unit 18 Standard Table?
- Is the monthly salary commensurate with the pay basis (i.e. 9/9 or 9/12)
- Is the annual rate is same as the last or current appointment within the department? If not, is justification for the merit included?
- If this is the 10<sup>th</sup> quarter of service and there have been no past within range salary increases, has the salary been increased by ~~one~~ **two** steps?
- Is the Title code appropriate for the appointment?

	<u>9/9</u>	<u>9/12</u>
Lecturer	1632	1630
Senior Lecturer	1642	1640
Supv. of Teacher Ed	2220	2220
- Is the period of appointment appropriate for the service?

	<u>9/9</u>	<u>9/12</u>
Fall Qtr	10-1 to 12-31	7-1 to 10-31
Winter Qtr	1-1 to 3-31	11-1 to 2-28
Spring Qtr	4-1 to 6-30	3-1 to 6-30
- Does the assignment conform to the Departmental Workload Statement? Is the percent time accurately reflected?
- Is the current year cost accurate? (Annual/3, x % time x number of quarters)
- Is the FTE calculation accurate? (% time/3 x number of quarters)
- Is the number of quarters of service to date in Unit 18 titles within the department listed?
- Has Graduate Council approval been obtained for graduate level courses?

**II. UCSB Biography Form**

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

**III. Affirmative Action Recruitment Summary (original only)**

- If required by Red Binder V-I, IV has the Affirmative Action Recruitment Summary been included?

**IV. Teaching Evaluations (original only)**

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

III-12  
**PROFESSIONAL RESEARCH SERIES**  
(Revised 04/08 09/08)

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

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

- B. 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 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 04/08 09/08)

**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 *and reappointments* require submission of the *following* completed and signed *paperwork*: Postdoctoral Scholar Appointment Form (Red Binder III-20)

*In addition, for the initial appointment of a Postdoctoral Scholar the following completed and signed forms must be submitted:*

1. *Attachment A: Recruitment, Search and Hiring information*
2. UCSB Biography form
3. *An up to date Updated* curriculum vitae

**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 copy of the evaluation must be provided to the Postdoctoral Scholar upon request, with a copy 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	Department Chair/Unit Director
Postdoctoral Scholar- Fellow	Department Chair/Unit Director
Postdoctoral Scholar- Paid Direct	Department Chair/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 PROCESS

(Revised ~~04/08~~ 09/08)

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; 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.
- For **all** initial new hires **also** include the following additional paperwork:-
  1. UCSB Biography form, signed and dated by the Postdoctoral Scholar
  2. An up to date CV
  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.
- Maintain copy of all paperwork for the departmental file.
- Send original packet to: Postdoctoral Scholar Coordinator  
Graduate Division  
3117 Cheadle Hall  
MC 2070
- 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.

IV-1  
STUDENT ACADEMIC TITLES  
General Information  
(Revised 11/03 09/08)

*The following apply to all graduate student appointments made during the academic year:*

Limitations on Service

The appointment or reappointment of a student in an academic title must be at half-time or less for the period of one year or less. *Percent time limitations apply to all appointments or combined appointments. Exceptions are granted only as outlined in the Red Binder sections on specific titles.*

*The following apply to graduate students appointed to the following titles during the academic year: Reader, Teaching Assistant, Associate, Remedial Tutor:*

Limitations on Service

The total length of service rendered in any one or any combination of the following titles listed above may not exceed four years (i.e., 12 academic year quarters): ~~Reader on monthly stipend, Teaching Assistant, Associate, Tutor.~~ Exceptions may be requested for an additional two years (6 academic year quarters), but in no case for more than 18 quarters.

Associated Student Employee agreement

*Appointees to the titles listed above are* ~~The following titles are~~ covered by the Associated Student Employee (ASE) contract: ~~Teaching Assistant, Associate, Reader, Remedial Tutor I, Remedial Tutor II.~~ ~~Further information concerning the contract may be found~~ *The full contract is available at <http://www.acadpers.ucsb.edu/>.*

Pay Schedule

The Fall quarter pay period for Teaching Assistants and Associates may consist of four months, that is, September 1 through December 31, allowing students to receive their first check on October 1. The monthly amount of pay for four months of fall quarter is adjusted accordingly so that the total quarterly payment remains the same. Winter and Spring quarters remain on a three-month schedule. The four-month pay period for Fall is optional. The appropriate payroll paperwork must be processed before mid September if the four-month Fall schedule is to be used. If paperwork cannot be processed before that time, the three-month schedule must be used and the student will receive their first paycheck on November 1.

Benefits

*Graduate students with appointments in covered titles are eligible for leaves of absence from their employment as outlined in Article 17 of the contract. Requests for leave should be made in writing, addressed to the supervisor as soon as the need for the leave is known. Leaves are granted only with approval of the Departmental Chair.*

*Eligible Graduate students with appointments in covered titles may receive reimbursement of allowable child-care related expenses in accord with Article 4 of the contract. A child care reimbursement form and appropriate attachments must be submitted to the department. Forms and additional information are available on the University "At Your Service" web site at: [http://atyourservice.ucop.edu/forms\\_pubs/index.html](http://atyourservice.ucop.edu/forms_pubs/index.html).*

## GRADUATE STUDENT RESEARCHER

(Revised ~~08/07~~ 09/08)**I. Definition**

A Graduate Student Researcher is a graduate student who assists faculty members with scholarly research. Graduate Student Researchers are selected for high achievement and promise as creative scholars; they may collaborate in the publication of research results as determined by supervising faculty members. Graduate Student Researchers may not be assigned teaching, administrative or general assistance duties.

**II. Appointment Criteria**

The criteria for appointment to each of the six steps listed below are provided as guidelines for departments. Department may make appointments at higher or lower steps as long as all GSRs in the department are treated consistently. In the absence of departmental step criteria, the following serve as guidelines for appointments to the various steps:

- Step I      Pre-Masters degree, with no previous RA/GSR experience.
- Step II      One year's graduate work completed
- Step III     Post-Masters degree, or completion of at least two academic years of full-time graduate degree work at UCSB
- Step IV     Post-Masters degree plus completion of at least one year RA/GSR
- Step V      Advancement to doctoral candidacy
- Step VI     Advancement to doctoral candidacy plus at least two years RA/GSR experience
- Step VII-X   To be used only for compensation issues as outlined in President Atkinson's June 4, 2002 memo. Contact Graduate Division prior to use of these steps.

The appointee to this title must hold a BA/BS degree, must be a full-time registered graduate student, and must have a grade point average of 3.0 or above. In addition, appointment to the title may not exceed half-time, nor may such appointment in combination with other employment within the University exceed half-time. (100% employment is permissible during off-quarter periods and during summer break.)

Title code **3266 (Graduate Student Researcher- No Remission)** is to be used for single and combined appointments of 0-24%; any appointment hired with no salary; and for any appointment for which fees will be paid from any source other than the hiring grant or the University, i.e., an external agency.

Title code **3276 (Graduate Student Researcher- Partial Fee Remission)** is to be used for single and combined appointments of 25-34%.

Title code **3284 (Graduate Student Researcher- Full Tuition and Full Fee Remission)** is to be used for single and combined appointments of 35% or higher, for both resident and nonresident students.

### III. Term of Appointment

An appointment to this title may be for a period of one year or less and is self-terminating. The employee must be informed of the following:

*"This appointment is contingent on the appointee being a registered graduate student in good standing for the duration of the appointment".*

*Department chairs may approve exceptions up to 75% time. Employment beyond 75% must be approved by the Dean of the Graduate Division.*

### IV. Process for Appointment

Employment forms require signature of appointee, Principal Investigator and/or Department Chairperson. A brief job description may be required.

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

### V. Approval Authority

<u>Action</u>	<u>Authority</u>
All normal actions	Department Chair
Exceptions: Employment up to 75% time	Department Chair
Employment in quarters 13-15	Department Chair
All other exceptions	Prior approval from Dean, Graduate Division

IV-10-6  
**TEACHING ASSISTANTS**  
(Revised 07/05 09/08)

The policy on this series is set forth in Academic Personnel Manual (APM) 410. At UCSB, the application of this policy is outlined in the following:

**I. Definition**

A teaching assistant is a registered UC graduate student in full-time residence, chosen for excellent scholarship and for promise as a teacher, and serving an apprenticeship under the supervision of a regular faculty member.

**II. Appointment Criteria**

The basic criteria for appointment are embodied in the definition of the series. In addition, each proposed appointment or reappointment is subject to certification by the Dean of the Graduate Division that the following conditions have been met:

- A. Maintenance of good academic standing (qualifying grade-point average of 3.0 in previous academic work and fewer than 12 units of incomplete or no grades). After a year or more of graduate work, the graduate record will be substituted for the candidate's undergraduate record in appraising scholarly performance.
- B. Current enrollment in a minimum of 8 units in a recognized program of graduate study within the appropriate degree deadline.

**III. Conditions of Employment**

The teaching assistant is responsible for conducting a lecture, laboratory, or quiz section under the active tutelage and supervision of a regular member of the faculty to whom final responsibility for the course's entire instruction, including the performance of teaching assistants, has been assigned.

A teaching assistant is not responsible for the instructional content of a course, for selection of student assignments, for planning of examinations, or for determining the term grade for students. The teaching assistant is not to be assigned responsibility for instructing the entire enrollment of a course or for providing the entire instruction of a group of students enrolled in a course.

**IV. Terms of Employment**

- A. Appointment as a Teaching Assistant is for one academic year or less, and is self-terminating. The employee must be informed of the following: *"This appointment is contingent on the appointee being a registered graduate student in good standing for the duration of the appointment"*.
- B. Appointment to the title of teaching assistant is limited to a maximum of 50% time either in the teaching assistant position alone, or in combination with any other appointment through the University. Exception to the 50% limit should be considered only when the following conditions are met:
  - 1. Master's students must be within the four year time limit set for the master's degree as stated in Academic Senate Regulation 300A .
  - 2. Doctoral students admitted Fall quarter 1995 or later must meet the four- year time limit set for advancement to doctoral candidacy by Graduate Council.

3. Doctoral students must be within the seven year time limit set for the doctoral degree in Academic Senate Regulation 350A.

Department chairs may approve exceptions up to 75% time. Employment beyond 75% must be approved by the Dean of the Graduate Division.

- C. The start date for students employed in this title will be either September 1 or October 1 for fall quarter, January 1 for winter quarter, and April 1 for spring quarter. Payment will be at the 1/9th rate.

#### **V. Process of appointment, supervision and review**

The selection, supervision and training of all student-teachers is an important responsibility of the teaching department, and in particular of the department chairperson. All candidates for appointment and reappointment should be subject to careful review and recommendation, either by the department as a whole or by a responsible committee.

In order to ascertain the quality of the teaching assistant's work and to make improvements when necessary regular review is necessary. The faculty member with responsibility for the course should periodically visit the lecture and laboratory sections of the course to gain a basis for appropriate review.

Written evaluation of the teaching assistant should be provided by the overseeing faculty member on a quarterly basis. These evaluations should be included in any consideration for reappointment.

#### **VI. Approval authority**

<u>Action</u>	<u>Authority</u>
All normal actions	Department Chair, with Graduate Division certification
Exceptions:	
Employment up to 75% time	Department Chair
Employment in quarters 13-15	Department Chair
All other exceptions	Prior approval from Dean, Graduate Division

VI-3  
SICK LEAVE  
(Revised 01/06 09/08)

Academic appointees do not accrue sick leave credit with the exception of certain groups listed below and in APM 710-14. Academic appointees who accrue sick leave shall maintain proper records to show accrual and usage of sick leave credit. In the case of illness of appointees who do not accrue sick leave, leave with pay *up to the maximums described in APM 710-11 a and b* may be approved by the Dean. Leaves in excess *of the APM maximums one year* require approval of the Associate Vice Chancellor for Academic Personnel.

- A. The following are eligible to accrue sick leave credit provided the appointment is at fifty percent or more time ~~on a fiscal year basis~~:
- Professional research series
  - Postgraduate Research series
  - Visiting Postdoctoral
  - Postdoctoral Scholar (employee, fellow and paid direct)
  - Specialist series
  - Librarian series
  - Associate and Assistant University Librarians
  - Continuing Education Specialist
  - Continuing Educator
  - Academic Administrator
  - Academic Coordinator
- B. Appointees who accrue sick leave accrue at the rate of one working day per month for full-time service, including periods of leave with pay other than terminal vacation. Accrual for part time employees is based on the percent time on pay status during the month. See RB VI-8 for accrual codes.
- C. Use of accrued sick leave is defined in APM 710-20.
- D. ~~As a general rule,~~ An academic appointee who does not accrue sick leave may apply for up to one quarter of leave with pay due to illness *at a time*. A physician's statement assessing the prognosis for return to duty may be requested prior to approval of the leave. Should the illness require an extension beyond the initial quarter of leave with pay, a physician's statement must be provided with the request for extension. *Exceptions beyond the APM maximums will be considered on an individual basis. At no time may paid medical leave exceed three consecutive quarters.*
- E. Accrued sick leave may also be used to care for an ill child, parent, spouse, or domestic partner. Appointees who do not accrue sick leave may request up to one quarter of leave with pay for the care of an ill child, parent, spouse, or domestic partner.
- F. Sick leave that is granted for a serious health problem, or to care for a parent, child, spouse or domestic partner with a serious health problem may also be covered as a Family and Medical Leave (APM 715). Family and Medical leave will normally run concurrently with approved sick leave.

**INTERCAMPUS PAYMENTS**  
**LECTURES AND SIMILAR SERVICES**(Revised ~~05/07~~ 09/08)

Reference: APM 666

**One-time Payments**

Under certain circumstances Academic appointees holding full-time appointments may receive additional compensation for lectures or similar services given on another UC campus. Such compensation may not be made from state funds, but is permitted from gifts, endowments, contracts and grants with specifically budget provisions for such honoraria or from University Extension. If non-state funds are not available, a faculty member may only be reimbursed for actual expenses incurred in presenting lectures or performing similar services from 19900 funds.

One-time honorarium payments are allowable up to \$1,000 per event, and up to \$2,000 by exception, requiring the approval of the Associate Vice Chancellor for Academic Personnel, per event. During the academic year the total earned for lectures and similar services may not exceed 10% of the individual's annual salary.

Payments for lectures and similar services that take place during the summer count toward the 3/9th limit for summer additional compensation.

**Multi-campus appointments**

In situations where an academic employee is simultaneously employed on two campuses approval from the appropriate Dean's office and/or Academic Personnel office must be obtained **prior** to the processing of the Temporary Intercampus or Multi-campus Appointment Form. The total percent time on the two campuses may not exceed 100%. The employee will continue to receive a single paycheck from the home campus, with accounting processing payroll transfers from the host campus to cover the cost.

**Processing of forms**

When UCSB is the host campus, the department will prepare an Intercampus One-time Payment form or Temporary Intercampus or Multi-campus Appointment Form (both forms are available at <http://www.acadpers.ucsb.edu/forms/>) indicating the desire to hire a person from the home campus. The UCSB department should contact the home department to verify the individual's current title, pay rate and basis of pay. The form should be filled out to include the person's name, title for payment, the host department's name, the rate of pay and the period of the appointment. The appropriate individual in the department should sign as the "Host Campus Fund Source Authorization. The completed form must be submitted to the Academic Personnel office, with a copy sent to College office or other appropriate control point.

When UCSB is the home campus, the Intercampus One-time Payment form or Temporary Intercampus or Multi-campus Appointment Form will be prepared and sent by the host campus department directly to the UCSB Academic Personnel office, and will then be forwarded to the home department. The department should verify the accuracy of the information on the form, ensure policy compliance, and obtain the appropriate departmental signature on the "Home Campus Dean's Office/ Academic or Staff Personnel" line. The completed form must be submitted to the Academic Personnel office, with a copy sent to the College office or other appropriate control point.

## VIII-1

### CAREER DEVELOPMENT AWARDS

#### FACULTY CAREER DEVELOPMENT AWARD (FCDA)

(Revised 05/07 09/08)

#### FACULTY CAREER DEVELOPMENT AWARD (FCDA)

The **Faculty Career Development Award (FCDA)** program provides Assistant Professors and Lecturers with Potential Security of Employment the opportunity to strengthen their records in research and other creative activity by providing funds to enable them to spend uninterrupted time pursuing research interests or independent study. The FCDA program is specifically geared toward non-tenured faculty who, because of the nature of their position or their role in campus affairs, have encountered significant obstacles in pursuit of their research, creative work, teaching, service, or mentoring obligations, or who have made unusually time-consuming efforts in helping to achieve campus diversity. The FCDA program is also intended to support these faculty in helping the campus in meeting the goals of academic excellence and faculty diversity by ultimately contributing to the recruitment and retention of quality faculty.

**Eligibility:** Eligible faculty include Assistant Professors and Lecturers with PSOE. Applications may be submitted by faculty who are under review for tenure or security of employment. **However, if the applicant is subsequently awarded tenure or security of employment during the award period, then he/she is no longer eligible.** This policy is consistent with the principal purpose of the program, which is to help eligible non-tenured faculty develop a substantial record in research and creative work necessary for advancement to tenure, and should be taken into account in deciding whether to apply.

#### REGENTS' JUNIOR FACULTY FELLOWSHIP

The principal purpose of the program is to help eligible junior faculty develop a substantial record in research and creative work necessary for advancement to tenure.

**Eligibility:** Eligible faculty include Assistant Professors and Lecturers with PSOE. Applications may be submitted by faculty who are under review for tenure or security of employment. **However, if the applicant is subsequently awarded tenure or security of employment during the award period, he/she is no longer eligible.**

#### REGENTS' HUMANITIES FACULTY FELLOWSHIP

The purpose of the **Regents' Humanities Faculty Fellowship** program is to encourage and facilitate research, advanced or independent study, or improvement of teaching effectiveness in the humanities by providing supplemental summer or sabbatical leave salary.

**Eligibility:** The Humanities Fellowship Program is open to faculty members in the regular and acting Assistant and Associate professorial series, **and** Lecturers with PSOE, **and Lecturers with SOE** regardless of department affiliation. However, awards are recommended only for those whose projects are clearly humanistic (i.e., studies in language, both modern and classical; religion; literature; jurisprudence; philosophy, archaeology, the history, criticism and theory of the arts; and those aspects of history, linguistics and the social sciences that have humanistic content and employ humanistic methods) or in the creative arts (painters, sculptors, composers, writers, poets, stage designers, performers and other artists in creative fields).

An annual call is issued during fall quarter for submission of applications. Awards are normally announced by the end of Winter quarter.

**Nature of Support:** Career Development Award funding is granted for specific research proposals and related scholarly activities. The FCDA program offers two types of awards: long-term and short-term awards, course release (one course) or summer research funds. Applications specify which type of award is being sought during the application process.

1. FCDA Long-term award This award will fund up to one quarter of 100% release time or a leave (which may be combined with accrued sabbatical leave to extend the total period involved) during the academic year. Applicants and their departments are encouraged to arrange the timing of such leaves in a way that would be optimal for the proposed project activity. Applicants who do not receive this award in one funding year are eligible to re-apply in succeeding years. Faculty are eligible for one FCDA long-term award during their career at UCSB.

If the award supports a leave, the applicant must still follow the necessary procedures for obtaining approval for the leave.

2. FCDA Short-term award This type of award may be one of the following: (a) One course release (33% "buy out" per quarter), (b) up to 33% sabbatical leave supplement for one quarter to be used in conjunction with an approved sabbatical leave, or (c) support funds or one month of summer salary to cover travel expenses (excluding per diem), with special fees, part of the cost of a publication or exhibition on a UC campus, or research assistance in direct support of the proposed research activity. A back-up guarantee of travel support funds may be granted provided that the applicant has also requested such support from the Senate Committee on Research. In no case may the total short-term award exceed one-ninth of the applicant's annual salary.

Faculty are eligible for **up to two** FCDA short-term awards of the same type (one per year) during their career at UCSB.

**Evaluation Criteria** Applications for each award are carefully evaluated with respect to the following criteria:

a. Quality of the proposal, particularly with respect to potential for long-term career opportunities and development.

b-c. Timing of the proposed project in terms of critical periods of career advancement (e.g., tenure appraisal or other impending personnel reviews).

*In addition, applications for FCDA award will also be evaluated for*

a. Overall program goals, with particular consideration for prior and current obstacles to the development of a record in research and creative work necessary for achievement of tenure and further advancement.

**Administration:** The program is administered jointly by the Office of Academic Personnel *in consultation with* and the Office of Equal Opportunity and Deans. The Dean of the appropriate college/school and a Faculty Career Development Award Advisory Committee will review the proposals and make

recommendations *in each award category* to the Associate Vice Chancellor for Diversity, Equity, and Academic Policy.

**Reporting Requirements:** At the conclusion of the award period, a brief narrative report specifying activities undertaken and the manner in which they contributed to the academic career development of the awardee is required. This report is due one month after fellowship termination and should be addressed to the Associate Vice Chancellor for Academic Personnel. Future awards will not be granted if this report is not received.

**Payment:** Awards given as summer salary, release time, or sabbatical leave supplement are entered into the payroll system as follows:

<u>Type of Award</u>	<u>Payroll title</u>	<u>Title Code (L&amp;S/Engr)</u>	<u>DOS code</u>
Summer Salary	Asst. Res. 1/9 <sup>th</sup>	3225/1986	OLN
Release Time	Asst. Res.	3223/1985	REG
Sabb. Leave Supp.	Asst. Prof.	1300/1343	SLS

Delete this section

VIII-3

## REGENTS' FELLOWSHIPS

(Revised 11/06)

### REGENTS' JUNIOR FACULTY FELLOWSHIP

The principal purpose of the program is to help eligible junior faculty develop a substantial record in research and creative work necessary for advancement to tenure.

**Eligibility:** Eligible faculty include Assistant Professors and Lecturers with PSOE. Applications may be submitted by faculty who are under review for tenure or security of employment. **However, if the applicant is subsequently awarded tenure or security of employment during the award period, he/she is no longer eligible.**

### REGENTS' HUMANITIES FACULTY FELLOWSHIP

The purpose of the **Regents' Humanities Faculty Fellowship** program is to encourage and facilitate research, advanced or independent study, or improvement of teaching effectiveness in the humanities by providing supplemental summer or sabbatical leave salary.

**Eligibility:** The Humanities Fellowship Program is open to faculty members in the regular and acting Assistant and Associate professorial series and Lecturers with PSOE regardless of department affiliation. However, awards are recommended only for those whose projects are clearly humanistic (i.e., studies in language, both modern and classical; religion; literature; jurisprudence; philosophy, archaeology, the history, criticism and theory of the arts; and those aspects of history, linguistics and the social sciences that have humanistic content and employ humanistic methods) or in the creative arts (painters, sculptors, composers, writers, poets, stage designers, performers and other artists in creative fields).

An annual call is issued during fall quarter for submission of applications for the Regents' Fellowships. Awards are normally announced by the end of Winter quarter.

1. **Type of Support:** Junior Faculty fellowships consist of short-term awards. This type of award may be one of the following: (a) One course release (33% "buy out" per quarter), (b) up to 33% sabbatical leave supplement for one quarter to be used in conjunction with an approved sabbatical leave, or (c) support funds or one month of summer salary to cover travel expenses (excluding per diem), with special fees, part of the cost of a publication or exhibition on a UC campus, or research assistance in direct support of the proposed research activity. A back-up guarantee of travel support funds may be granted provided that the applicant has also requested such support from the Senate Committee on Research. In no case may the total short-term award exceed one-ninth of the applicant's annual salary.

**Evaluation Criteria:** Applications are carefully evaluated with respect to the following criteria:

- a. Quality of the proposal, particularly with respect to potential for long-term career opportunities and development.

- b. Timing of the proposed project in terms of critical periods of career advancement (e.g., tenure appraisal or other impending personnel reviews).

**Administration:** Applications are submitted to Academic Personnel, via the appropriate Dean. All applications are reviewed by the Faculty Research Committee, which makes recommendations to the Associate Vice Chancellor for Diversity, Equity, and Academic Policy.

**Reporting Requirement:** At the conclusion of the award period, a brief narrative report specifying activities undertaken and the manner in which they contributed to the academic career development of the awardee is required. This report is due one month after fellowship termination and should be addressed to the Associate Vice Chancellor for Academic Personnel. Future awards will not be granted if this report is not received.

**Payment:** Awards given as summer salary or sabbatical leave supplement are entered into the payroll system as follows:

<u>Type of Award</u>	<u>Payroll title</u>	<u>Title Code (L&amp;S/Engr)</u>	<u>DOS code</u>
Summer Salary	Asst. Res. 1/9 <sup>th</sup>	3225/1986	ACF
	Assoc Res. 1/9 <sup>th</sup>	3215/1984	
Sabb. Leave Supp.	Asst. Prof.	1300/1343	SLS
	Assoc. Prof.	1200/1243	

VIII-11  
**POLICY ON ENDOWED CHAIRS**  
(Revised ~~01/06~~ 09/08)

**I. References:**

- A. University of California, Policy and Procedures Manual for Gifts and Endowments.
- B. University of California Academic Personnel Manual.
- C. Policy on Endowed Chairs, adopted by The Regents, effective July 1, 1996.

**II. Policy:**

- A. Background:

While General Fund appropriations remain the core support for the academic functions of the campus, the establishment of endowed chairs, fully funded through the support of private gifts, provides significant and singular benefit in the development of excellence at UCSB. These gifts permit enriched support for the teaching, research and service responsibilities of especially gifted faculty and provide a means of according such faculty public recognition of their distinguished status. They offer attractive incentives for recruitment and retention purposes. Endowed chairs, endowed professorships and all similar entities are governed by this policy.
- B. Definition:

An endowed chair is a perquisite, supported by income from an endowed fund established by gifts.
- C. Requirements for Establishing an Endowed Chair:
  - 1. The President of the University of California retains authority for establishing and naming endowed chairs. No final commitment for establishing and naming a chair shall be made to a prospective donor prior to Presidential approval.
  - 2. The corpus of a gift consisting of cash, its equivalent, or a legally binding pledge from a donor(s) of at least ~~\$350,000~~ \$500,000 is required to establish an endowed chair.
    - a. A pledge to establish an endowed chair shall be in such form as to constitute a legally binding commitment by the donor. Pledges to The UCSB Foundation shall be supported by a binding pledge from the latter to transfer the income to The Regents at the beginning of each fiscal year to fund the chair.
    - b. Whenever possible, a pledge to fund an endowed chair shall be accompanied by partial payment, preferably at least one-third of the total, and the instrument of gift shall include a proposed payment schedule which shall not exceed a date specified at the time of Presidential approval, except in cases where there is a binding commitment to complete the funding by bequest or similar deferred gift for which there can be no predetermined termination date.
    - c. If a chair is to be funded through a campaign, the recommendation for approval of the chair and the campaign shall be presented simultaneously. Approval of an endowed chair when a campaign is involved, will be contingent upon the receipt of

a specified amount by the specified closing date of the campaign, with a provision for optional use of the funds raised should they fall short of the required minimum, or with a commitment from the Chancellor to make up any deficiency from unrestricted funds available to the campus.

3. The subject area of the endowed chair must be consistent with the mission of the University of California and the academic planning statement of the Santa Barbara campus. The designated field for the endowed chair is a matter of negotiation between the donor and the University. Income from the endowment will be dedicated to the academic discipline or area specified by the donor at the time of acceptance of the gift so long as that discipline or specialty remains a program within the academic plan of the campus.
4. The gift instrument shall normally permit appropriate alternative distribution of the income by the Chancellor if the subject area of the endowed chair ceases to be consistent with the University's mission or the academic planning statement of the campus. Such alternative distribution shall be as closely related to the donor's original intent as is feasible.
5. The gift instrument shall normally state that the Chancellor is given authority to add unexpended income to the original corpus.
6. Procedure for obtaining approval for the establishment of an Endowed Chair is as follows: Recommendations shall be reviewed by the appropriate Dean and forwarded to the Executive Vice Chancellor who will consult with the Academic Senate Committee on Educational Policy and Academic Planning regarding the appropriateness of the proposed subject area. Based on the comments of the committee, the Executive Vice Chancellor will make a recommendation to the Chancellor as to the appropriateness of the Endowed Chair. Following Chancellor's approval, the President will be requested to grant approval.

D. Appointments:

1. The term of appointment to an endowed chair will be for an initial period of five years, with subsequent terms of five years each as long as the chair holder is fulfilling the original mission and expectations of the appointment. Appointment may also be made to a series of individuals appointed successively for prescribed periods. All chair holders will be reviewed according to existing UC personnel policies.
2. Appointment of an individual to an Endowed Chair shall be made by the Chancellor, in accordance with the normal academic review procedure for an academic appointment, including consultation with the department, college, ad hoc committee, and Committee on Academic Personnel. When a current UCSB faculty member is reviewed for appointment to an Endowed Chair, the process may be modified as appropriate. For example, a department vote is not mandatory and no ad hoc committee will be required.
3. In the case of an administrative endowed chair, the administrative officer is automatically designated as the chair holder.
4. The level of appointment normally shall be equivalent to the top ranks of the professor series, but appointment at lower ranks is also possible.

5. Reappointment of an individual to an Endowed Chair may be approved by the Associate Vice Chancellor for Academic Personnel, upon favorable recommendation by the Department and endorsement by the Dean. The departmental recommendation will consist of a memo that evaluates the extent to which the chair holder is fulfilling the original mission and expectations of the appointment. While a faculty vote is not mandatory, departmental consultation must take place. Should the Department or Dean recommend termination of the appointment, CAP review will be required and the Chancellor will have final authority.
6. Chairs that remain vacant for a consecutive period of five years will be subject to review by the Chancellor.

E. Provisions:

1. Funds for the endowed chair provision, including the base salary and average support per FTE for the discipline, shall be provided from either campus General Funds or the Endowment income. Endowment income may be used to support salary, or a portion of the base salary. Income from the endowment may also be used for supplementary salary beyond the base salary, as determined by the fund administrator, consistent with the terms of the gift and campus procedures.
2. Endowment income made available to holders of endowed chairs shall be used to support teaching, research, and service activities of the chair holder, in accordance with the gift terms, University regulations and according to a budget recommended annually by the chair holder to the fund administrator. Consistent with the foregoing, and following consultation with the appropriate campus administrator, a chair holder may exercise the option of designating a portion of the endowment income from the chair for use towards the academic endeavors of the Department for a prescribed period, within proper legal constraints.
3. Endowment income for an administrative chair may be used to support the teaching, research, and service activities of the department, research unit, school, or college as determined appropriate by the holder of the chair in accordance with the gift terms as well as University and campus policies and procedures.
4. The department chairperson shall act as fund administrator unless this responsibility is designated, by the Chancellor, to another individual.
5. The occupant of the chair, as a member of the faculty, shall be entitled to the normal support funds and services available to other faculty members within the department. Such support shall not be charged against the endowed income of the chair.
6. The occupant of the chair shall be given adequate space for his/her teaching and research program, considering normal departmental and campus space allocations.
7. The holder of an appointment to an endowed chair will be expected to carry on an appropriate teaching responsibility, and normally shall teach both graduate and undergraduate courses. The appointee shall contribute to the scholarly activity of the department in which he/she resides and, through seminars and other intellectual contact with students, add to the enrichment of the academic life of the campus as a whole.

8. The Endowed Chair will be declared vacant at the time of retirement, termination, or death of the chairholder.

F. Disestablishment of Chair

1. The terms of the endowment shall be reviewed from time to time to ensure that chairs and professorships meet their intended purposes.
2. The President, subject to the donor's approval, and upon recommendation by the Chancellor and after consultation with General Counsel, is authorized to disestablish an endowed chair if
  - a. The subject area ceases to be consistent with the University's mission or campus academic planning statement.
  - b. the chair remains vacant for more than 5 years and the Chancellor determines there is no likelihood of filling the chair.
3. Upon disestablishment of an endowed chair the endowment income shall be redirected to the alternative purposes stated in the gift agreement or subsequent agreements between the donor and the Chancellor. If a donor is deceased and has not specified an alternative purpose, the campus shall request assistance of General Counsel in obtaining court approval for an alternative use of endowment income.

G. Reporting

1. The Chancellor shall provide the President annual reports on endowed chairs that have been unfilled in the previous year and those that have been disestablished. The reports should include the following:
  - Name of chair, fund number, entity that holds the endowment;
  - Name of donor;
  - Date established;
  - Subject area of chair;
  - Amount of endowment when fully funded; funding to date;
  - For an unfilled chair- how long the chair has been vacant; what use, if any, has been made of the income during the period.
  - For a disestablished chair- date disestablished; alternate use of funds approved by General Counsel.

### **III. Dickson Emeriti Professorship:**

The Dickson Emeriti Professorship will be awarded on an annual basis for a term of one academic year. There is no limit to the number of times an individual may be appointed.

Endowment funds may be used to support recall appointments for teaching, research, or public service of an emeriti faculty member.

An annual call will be issued during Winter quarter for nominations for the next academic year. Recommendations are to be forwarded by the Department to the Executive Vice Chancellor, via the Dean. Authority to make appointments to the Dickson Emeriti Professorship will be held by the Executive Vice Chancellor. The Executive Vice Chancellor will have the discretion to make multiple

appointments for any given year.

The Departmental recommendation should state the proposed use of the funds and the proposed activity's relevance to the department, unit, campus or University as a whole.