

Summary of change:

- I-1 Clarification of authority on medical leaves
- I-17 Clarify level at which relocation allowance is provided
- I-20 Allow storage expenses as part of removal costs
- I-30, I-33 Correct status of cases decelerated more than one year to routine
- I-42, 43, 50 Changed language related to advancement to Prof VI and Above Scale to reflect recent APM changes
- II-1, III-1 State limit of 43% time on recall appointments
- II-14 Remove reference to signing and dating since form is done on-line
- III-25 Change in approval authority for Academic Coordinator actions
- VI-8 Addition of leave code information for Academic Coordinators

I-1  
**APPROVAL AUTHORITY FOR  
 LADDER RANK FACULTY**  
 (Revised 01/08)

<u>Action</u>	<u>Authority</u>
<b><u>Appointments*</u></b>	
Assistant Professor II, III, including Acting titles	Dean
Assistant Professor IV and V	Associate Vice Chancellor
Associate Professor, Professor	Chancellor
Affiliated Appointments (0% or without salary)	Associate Vice Chancellor
Joint Appointments	Associate Vice Chancellor
Lecturer PSOE at salaries equivalent to 4 steps above Asst. Prof. III	Dean
Other Lecturer PSOE	Associate Vice Chancellor
Lecturer SOE, Sr. Lecturer SOE	Chancellor
<b><u>Merits*</u></b>	
On-Schedule Merit Cases (including decelerated in time)	Dean
Merit to Professor VI, to and within Above Scale	Chancellor
Other Merits	Associate Vice Chancellor
Formal Appraisal	Associate Vice Chancellor
Asst Prof deferrals	Dean
<b><u>Promotions*</u></b>	
Associate Professor, Professor	Chancellor
Lecturer SOE, Sr. Lecturer SOE	Chancellor
Deferral of tenure review	Dean
<b><u>Leaves</u></b>	
Sabbatical - routine	Dean
Sabbatical - exceptions, any negative rec., no merit in past 5 years	Associate Vice Chancellor
<i>Medical leaves within APM policy</i>	<i>Dean</i>
All other routine leaves for up to one year	Dean
Active service/modified duties	Dean
Exceptions to policy	Associate Vice Chancellor
Leaves beyond one year	Associate Vice Chancellor

\*In all appointment and retention cases, the academic administrator with approval authority has the latitude to approve a salary up to \$100 below the on-scale salary two steps above the step recommended by the Committee on Academic Personnel. In such cases, the Committee on Academic Personnel will not require further consultation

Exceptions to off-scale limits (Red Binder I-8) require Chancellor approval.

I-17  
**NEW LADDER FACULTY COMMITMENTS**  
(Revised 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 family student housing may be offered to Assistant Professors and Lecturers with Potential Security of Employment. Rentals are on an "as available" basis and new faculty should be urged to contact the housing office as soon as possible, once an offer has been extended, if they will be exercising this option.

### **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 allocation is based on the rate on can be found at Table 45 44 of the published Salary Scale at the time of hire. Incoming faculty should be advised of the following to avoid unrealistic expectations about how and when they can get the money.

Faculty 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.

I-20  
**REMOVAL EXPENSES**  
(Revised 09/03)

Removal expenses may be provided for certain new appointees (see APM 560-14) to academic positions. For those eligible, policy removal expenses are paid in accordance with University and IRS regulations and the purpose and procedure described below. Any exceptions to policy, including full removal expenses, must be requested at the time of appointment.

~~Partial payment of removal expenses is a privilege which may be accorded to qualified persons in order to expand the geographical area of selection of permanent academic staff and thus enhance the effectiveness of University recruitment.~~

UC Policy (one-half of the total cost)

Removal expenses for which the University may reimburse eligible personnel for a single move from one physical location are as follows:

1. Packing, freight (~~but not storage~~) and insurance of normal household goods (see definition below), when properly supported by invoices and receipts.
2. Air coach transportation for appointee and immediate family or an equivalent amount for other travel in accordance with standard airline fare policies and University travel regulation.
3. Meals en route for appointee and immediate family in accordance with University travel regulations. If travel is by automobile, the cost of meals is an allowable expense only to the extent that might have been necessary if travel had been by air coach.

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

Household goods, include: personal property such as furniture, clothing, musical instruments, household appliances, and other items which are usual and necessary for the maintenance of a household. Also included are household pets if approved in advance of shipment.

Household goods specifically do not include items listed in the next section.

Full Removal (Exception to Policy Removal)

If full removal is provided, all reasonable removal costs will be reimbursed for a single move, subject to the following conditions.

Faculty receiving 100% removal expense reimbursement will not be reimbursed for equivalent air coach fare for themselves and their immediate families if they elect to drive to California. Reimbursement will be made on the lesser of one-way coach fare for appointee and immediate household members, or actual expenses (airfare or mileage reimbursement, lodging, and meals en route) at UC allowable rates per G-28, Policy & Regulations Governing Travel and G-13, Policy & Regulations Governing Moving and Relocation. Receipts will be required. If, for personal reasons, an indirect route is traveled or the trip is extended, reimbursement shall be based only on such charges as would have been incurred by the usually traveled route. All appointees must purchase the least expensive air tickets to the Santa Barbara area.

Prospective faculty should be aware that costs for the following cannot be reimbursed:

- transport of trailers, boats, or motor vehicles other than the primary automobile
- transport of belongings related to commercial enterprises engaged in by the employee
- transport of building materials
- ~~costs for storage and all storage related expenses (warehouse handling, delivery, insurance at storage in transit)~~

### Advance Approval

Advance approval will be required to be reimbursed in full or in part for these costs:

- transport of primary automobile
- transport of household pets
- movement of belongings from more than one physical location
- *actual and reasonable storage for up to 60 days immediately after their removal from the primary residence*
- overtime deliveries
- ~~any unusual charges~~

### Procedures for Reimbursement

Application for reimbursement of removal expenses shall be made to the campus Accounting Office on the University's Travel Expense Voucher, form 85R. Forms can be obtained through the departmental administrative assistant who will offer assistance with the details of data for inclusion in making application for reimbursement. Further information may be obtained from the Accounting Office web site at: <http://www.accounting.ucsb.edu/travel/>

I-30  
**ROUTINE MERIT REVIEWS**  
(Revised 02/05)

The following merit actions are considered “routine” when the departmental recommendation is for an on-schedule merit advance with no increase or decrease the off-scale salary supplement:

Assistant Professor Series:

Advances from Step II to III, and III to IV

Associate Professor Series:

Advances from Step I to II and II to III

Professor Series:

Advances from Step I to II, II to III, III to IV, IV to V, VI to VII, VII to VIII, VIII to IX

~~Any of the above actions that involve a one-year deceleration will also be subject to routine processing.~~

Deans have approval authority for routine merits. Should a Dean not approve a routine merit, the case will be forwarded to Academic Personnel for review by the Committee on Academic Personnel and decision by the Associate Vice Chancellor.

The Office of Academic Personnel will remain the office of record for maintenance of personnel files, for provision of redacted documents to faculty, and for the announcement of merit decisions. This review process will not affect or limit the Committee on Academic Personnel's personnel files, and copies of all personnel actions will continue to be kept in the Academic Senate files.

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

I-33  
**NON-ROUTINE REVIEWS**  
(Revised 08/07)

The following actions are considered non-routine:

Formal Appraisal

Terminal Appointments

Promotion to Associate Professor

Promotion to Professor

~~Mandatory reviews~~

Merit to a special step

Merit to Professor Step VI

Merit to or within Professor Above Scale

All accelerated actions (including an increase in the off-scale supplement)

~~All decelerated actions (more than "normal" years at step: Red Binder I 4), with the exception of one year decelerated actions which will be Dean's authority.~~

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

Senate members serving on the Committee on Academic Personnel will have non-routine personnel actions reviewed by a shadow CAP instead of the current membership of CAP.



**MERIT TO PROFESSOR VI**

(Revised 10/00)

Advancement to Professor VI is based on evidence of *sustained and continuing excellence in each of the following three categories: (1) scholarship or creative achievement, (2) University teaching, and (3) service.* ~~highly distinguished scholarship, highly meritorious service, and evidence of excellent teaching. Evidence of excellence and high merit in original scholarship or creative achievement, teaching and service, and~~ In addition, great distinction, recognized nationally or internationally in scholarly or creative achievement or in teaching are required for merit to Professor VI. This is a career review and therefore is based on a review of the individual's entire academic career.

**MERIT TO, OR WITHIN, PROFESSOR ABOVE SCALE**

(Revised 11/06)

Advancement to Professor Above Scale is reserved for scholars and teachers of the highest distinction (1) whose work of sustained and continuing excellence has attained national and international recognition (2) whose University teaching performance is excellent, and (3) whose service is highly meritorious. ~~whose work has received international recognition and whose teaching performance is excellent.~~ Advancement to Professor Above Scale will normally occur after at least four years of service at Professor IX with the individual's complete academic career being reviewed.

A merit increase for a candidate already serving at an Above Scale salary level must be justified by new evidence of merit and distinction appropriate to this highest level of the professorship. Continued good service is not an adequate justification. Intervals between such salary increases may be indefinite. Merit increases normally range between 5-7%, where 5% reflects new evidence of merit and distinction, and 7% is reserved for outstanding accomplishment. Cases for merit increases at the higher percentage must be justified by evidence of significant new achievement that exceeds expectations at this high level, such as the publication of a major book, or significant recognition such as distinguished awards, prizes, endowed lectureships, or elections. The normal interval between salary increases is four years. Accelerations at intervals of less than four years or of more than 7% will be granted only in the most superior cases and must be justified by strong and compelling evidence that demonstrates how the expected metrics after four years for the salary increase have already been met.

**WORDING FOR SOLICITATION LETTERS BY PROPOSED ACTION**

(Revised 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 *sustained and continuing excellence in each of the following three categories: (1) scholarship or creative achievement, (2) University teaching, and (3) service.* ~~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 I-IX*). Steps VI, VII, VIII, and IX are reserved for highly distinguished scholars. *There is one further rank beyond Step IX; Above Scale. Above Scale is the highest rank attainable by a faculty member in the University of California system.* (Appointment/advancement) to an Above Scale salary is reserved for *the most highly distinguished faculty (1) whose work of sustained and continued excellence has attained national and international recognition, (2) whose teaching performance is excellent, and (3) whose service is highly meritorious.* ~~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.

## 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.

**UNIT 18, Non-Senate Faculty**  
**Lecturer and Supervisor of Teacher Education Series**  
(Revised 01/08)

**I. Definition**

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

Policies and procedures regarding terms and conditions of appointments in these titles which are not included in the Red Binder are contained in APM 283 and the Memorandum of Understanding (MOU) for the Non-Senate Instructional Unit (Unit 18).

**II. Ranks and Steps**

Lecturer and Senior Lecturer:

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

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

Supervisor of Teacher Education:

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

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

**III. Appointment Criteria**

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

**IV. Term of Appointment**

- A. During the first six years of service, appointments and reappointments to these titles are normally made for terms of one year or less. A year of service is defined as 3 quarters of qualifying Unit 18 service. Qualifying service is service in any Unit 18 title at any positive percentage of time in the same department. Without salary appointments and Summer Session appointments do not count as Unit 18 quarters of service.

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

The employee must also be informed of the following:

- Title of the position, name of employing department, and name of the individual to

- whom the appointee will report
- Salary rate and percentage time
- Work and pay period
- The nature of the appointment and the general responsibilities
- The web site addresses for the University and the UC-AFT

- B. A reappointment which commences after six or more years of service within the same department at UCSB will be a Continuing Appointment (See Red Binder II-8 and II-10).
- C. All assignments must conform to the Workload Statement approved for the Department.

## V. Compensation

- A. The source that provides compensation for service under these titles must permit teaching.
- B. Individuals appointed to these titles are compensated at a rate within the published "Lecturer" range and in accordance with the Unit 18 Academic Standard Table of Pay Rates. Senior Lecturer salaries begin at approximately the rate for Professor, Step I. Determination of rate at initial appointment is based on professional qualifications.
- C. At the time of appointment to a 10<sup>th</sup> quarter of service within the same department, a pre-six lecturer will be given a two- step salary increase if the individual has not received a two-step within range salary increases during the prior 9 quarters of service.
- D. An appointee who is reviewed for a Continuing Appointment(an Excellence Review) shall be reviewed for a merit increase in accordance with the guidelines in Red Binder II-10 . Subsequent merit reviews will be conducted every three years. At such time, a Continuing Appointment lecturer who is found to be excellent will receive a merit increase of at least two steps.
- E. Personnel actions are effective July 1 provided employment is to be for three consecutive quarters. Payment in this instance is at the 1/12th rate. Personnel actions for lesser periods are effective October 1 for fall quarter, January 1 for winter quarter and April 1 for spring quarter. Payment is at the 1/9th rate.

## VI. Reappointment and Advancement

- A. Reappointment that commences prior to completion of six years of service in the same department.  
  
A reappointment to one of these titles requires an assessment of the performance of the individual in accord with the department assessment procedures. Assessments are to be made on the basis of demonstrated competence in the field, demonstrated ability in teaching, academic responsibility, and other assigned duties. Reappointment to the Senior Lecturer title also requires service of exceptional value to the University. See Red Binder II-6 for procedural guidelines.
- B. Appointments and reappointments that commence after six or more years of service in the same department.

See Red Binder II-8 for procedures to be followed with respect to resource allocations



and Red Binder II-10 for procedures to be followed in the Personnel Review process. The Continuing Appointment Review form (Red Binder II-15) should be used for all Excellence Reviews and subsequent merit reviews for Continuing Appointment Lecturers and Supervisors of Teacher Education (Red Binder II-10).

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

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

**VII. Restrictions**

- A. Graduate level courses may be taught by appointees to these titles with the approval of the Graduate Council.
- B. Registered UC graduate students may not be appointed to these titles. Degree candidates who are not currently registered may be appointed as lecturer by exception. Such appointment requires prior approval of the Graduate Division.

*C. Recall appointments as Lecturer or Senior Lecturer may not exceed 43% time over an academic year.*

**VII. Non-reappointment, Reduction of Time, and Layoff**

- A. No notice of non-reappointment is required for appointments that terminate on the scheduled end date when total service is less than six years. Termination prior to the scheduled end date must be in compliance with MOU Article 18 C.2.
- B. If an individual holding a Continuing Appointment that commenced after six or more years of service in the same department has their workload reduced by one course, 30 days notice is required. If more than one course is eliminated, 60 day notice is required. A twelve-month notice will be given in cases of layoff. If less than twelve months notice is given, pay in lieu of notice will be given in accordance with MOU Article 18.D.2. Any Layoff must comply with the provisions of Article 18.B

**VIII. Approval Authority**

<u>Action</u>	<u>Authority</u>
Workload	Dean
Continuing Appointment FTE requests	AVC
Appointments for 1 year or less	Dean
Years 1-6, Merits	Dean
Excellence Review	AVC
Promotion to Sr. Lecturer	AVC
Continuing appointment merits	Dean

**IX. Sample Chair's letter for Unit 18 appointments (Lecturer, Supervisor of Teacher Education)**

TO: Dean  
FROM: Department Chair  
RE: Appointment of \_\_\_\_\_

The department of \_\_\_\_\_ proposes the appointment of \_\_\_\_\_.

Title: \_\_\_\_\_

Quarters: \_\_\_\_\_ Academic Year: \_\_\_\_\_

Percent time: \_\_\_\_\_ FTE: \_\_\_\_\_

Annual salary: \_\_\_\_\_ Current Year Cost: \_\_\_\_\_

Salary at Previous Appointment: \_\_\_\_\_

Quarters of service to date in Unit 18 titles in this department: \_\_\_\_\_

Date(s) of Affirmative Action Search(es): \_\_\_\_\_

Workload (by quarter; including total/quarter)

<u>Course</u>	<u>#Units</u>	<u>Hrs/Wk</u>	<u>Enrollment</u>	<u>Category</u>	<u>#IWC</u>
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Which, if any, of the assigned courses are augmentations? Are these temporary or permanent augmentations?

Description of non-instructional assignments, if any: \_\_\_\_\_

Reports to: \_\_\_\_\_

Qualifications and experience: \_\_\_\_\_

**For reappointments:**

When and by whom was the assessment conducted? \_\_\_\_\_

Evaluation of teaching: \_\_\_\_\_

Policy exception request and justification: \_\_\_\_\_

X. **Sample Chair's letter for Continuing Lecturer annual workload**

*(submit one copy, no other materials required)*

To: Dean

From: Department Chair

Re: Workload assignment for \_\_\_\_\_, Continuing Lecturer

The Department of \_\_\_\_\_ proposes the following workload for \_\_\_\_\_.

Quarters: \_\_\_\_\_ Academic Year: \_\_\_\_\_

Percent time: \_\_\_\_\_ FTE: \_\_\_\_\_

Annual salary: \_\_\_\_\_ Current Year Cost: \_\_\_\_\_

Workload (by quarter, including total IWC/quarter)

<u>Course</u>	<u># Units</u>	<u>Hrs/Wk</u>	<u>Enrollment</u>	<u>Category</u>	<u>#IWC</u>
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Which, if any of the assigned courses are augmentations to the permanent FTE allocation for this Lecturer? Are these temporary or permanent augmentations?

Description of non-instructional assignments, if any: \_\_\_\_\_

Reports to: \_\_\_\_\_

II-14  
**DOCUMENTS TO BE SUBMITTED BY THE DEPARTMENT  
EXCELLENCE REVIEWS AND SUBSEQUENT MERIT REVIEWS**

(Revised 07/05)

I. **Continuing Appointment Review Form** (see Red Binder II-15)

- Is the recommended salary on the published salary scale?
- Is there a statement of the review process used?
- Have the appropriate boxes been checked on the form, and are all items indicated as included in the case?

II. **Departmental review committee letter of recommendation**

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

- Are the effective date and recommended salary clearly stated?
- ~~Is the letter signed and dated?~~
- Is the letter an accurate, extensive, and **analytical** representation of the case?
- If the case contains extramural letters, are letter writers identified **only** by coded list, with no identifying statements?
- Are all areas of review covered: ability in teaching, competence in the field, academic responsibility and other assigned duties?
- If there is a recommendation for an acceleration, are the reasons for the acceleration specifically stated?

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

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

IV. **Complete CV**

- Is the CV up to date?

V. **Safeguard Statement.**

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

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

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

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

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

VII. **Other Materials submitted by the candidate**

- Are all materials identified as candidate submitted?
- Were all materials considered and evaluated as part of the departmental review?

III-1  
**OTHER ACADEMIC TITLES**  
**General Information**  
(Revised 01/06)

Titles in this section are to be used for individuals involved in research or other academic activity who do not fit the criteria of the ladder faculty or teaching titles discussed in Red Binder Sections I and II. Questions concerning the use of staff titles for individuals involved in research should be directed to Human Resources, extension 4117.

Policies

The campus Policy and Procedures for Discipline and Dismissal (Red Binder III-30) and the Policy and Procedures on Non-Senate Academic Grievances (Red Binder III-35) are applicable to appointees in this section.

The campus policy and procedures for affirmative action are set forth in Red Binder Section V.

Deadlines for submission of merit/promotion requests

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

In the Professional Research series requests for advancement must be submitted to the Office of Research by March 1 (Red Binder III-12, VI.)

Requests for merits or promotions in series other than Professional Research must be submitted to the Office of Research by April 1.

For all other series covered in Red Binder III, the effective date of the action may be calculated from the date of hire or last advancement. The request for advancement is due to the appropriate office prior to the effective date of the action. Refer to the Red Binder section related to each title for further information.

Service limitations

For all series other than the Professional Research series, six months or more of service at one-half time or more in any fiscal year counts as one full year of service. Appointments or reappointments in these series are normally made for one year at a time, but for certain titles may be longer. See specific Red Binder sections for limitations for each title.

For the Professional Research series, six months or more of service, with or without salary, in any fiscal year counts as one full year of service. Appointments and reappointments may be made for up to two years at a time at the Assistant and Associate level and up to three years at a time at the Researcher level if guaranteed funding is available.

All employees must be informed of the following in writing: "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."

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

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

issue a written Notice of Action to the employee. Pay in lieu of notice may be given.

*Recall appointments in any temporary research title may not exceed 43% time over the fiscal year.*

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

III-25  
**ACADEMIC COORDINATOR**  
(Revised 01/06)

**I. Definition**

This title is appropriate for appointees who administer academic programs that provide service to academic departments or research units, to students, or to the general public. The service must be closely related to the teaching or research mission of the University.

The duties of an Academic Coordinator are primarily administrative. Teaching or research related responsibilities will require appointment in an appropriate academic title. Occasional non-credit seminars or workshops may be conducted under the Academic Coordinator title. See APM 375 for System Wide policy on Academic Coordinators.

**II. Rank and Step**

This series contains ranks I - III. Ranks I and II include 15 steps, Rank III includes 9 steps.

**III. Appointment Criteria**

Requests for appointment should be prepared using the "Documents to be submitted by the Chair" (Red Binder III-26).

A. An appointee must have a professional background of academic training and/or experience for appointment to this series. A Master's or equivalent or other appropriate degree(s) is usually required. Certain positions may require a doctorate or equivalent experience.

B. The appropriate rank will be determined by taking into consideration such factors as program scope and complexity. APM 375, Appendix A provides guidelines for determining appropriate rank. In general, the ranks are differentiated as follows:

1. Academic Coordinator I:

Appointees will have responsibility for programs of minimal to moderate complexity. The program will normally have a small staff, and may consist primarily of local University-related activities with limited breadth or narrow focus. The appointee will likely receive general supervision from the department chair, a faculty member or other academic or professional staff.

2. Academic Coordinator II:

Appointees will have responsibility for programs of moderate complexity. The program will normally have a moderately-sized staff or a scope that encompasses several units or activities. The appointee is expected to manage the program with a great amount of independence.

3. Academic Coordinator III:

Appointees will have primary responsibility for the administration, management, and coordination of large programs with broad and substantial complexity. Responsibilities will be fulfilled independently (for example, unit heads who report directly to a dean or vice chancellor). Appointments to this level will require demonstrated superior professional ability, outstanding accomplishment in job-related activities, and the assumption of greater responsibility than typically delegated to Academic Coordinators at other levels.



**IV. Term of appointment**

- A. Appointments will normally be made for one year at a time, but may, with justification, be made for up to a maximum of three years at a time.
- B. No further notice of non-reappointment is necessary for appointments at less than 50% or for appointment of less than eight consecutive years in the same title or series.

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

**V. Advancement**

Requests for merit or promotion should be prepared using the "Documents to be submitted by the Chair" (Red Binder III-26).

- A. Merit increases will normally occur once every 2 years at Rank I and II and once every 3 years at Rank III. A personnel review must be conducted at least once every two years at Rank I and II and at least once every three years at Rank III. If advancement is not justified, a recommendation of "no change" may be made.
- B. Advancement from one step to the next is based on merit. Promotion to a higher rank will require significant change in the scope and complexity of the program administered.
- C. A request for merit advancement will require evaluation of the candidates performance and activity in the areas of: a) Coordination of the Academic Program, b) Professional Competence, and c) University and Public service. A request for promotion must also address the change in scope and complexity of the program administered. An updated job description must be included with each request for merit, promotion or reappointment.

**V. Approval Authority**

Action

Authority

*New appointments*

*Associate Vice Chancellor for Academic Personnel*

*Reappointments and merits*

*Dean*

*Promotions*

*Associate Vice Chancellor for Academic Personnel*

~~All actions when in conjunction with a Unit 18 title~~

~~Dean~~

All others

AVC

VI-8  
**ACADEMIC LEAVE ACCRUAL CODES**  
 (Revised 02/05)

<u>Type of Appointment</u>	<u>Accrual Code</u>
Appointments made on 9/12 or 9/9 basis	N
<i>Academic Coordinators 9/9</i>	F
<i>Academic Coordinators 9/12</i>	F*
Appointments made on 11/12 basis (other than GSR):	
Less than 6 months, less than 50% time	N
Less than 6 months, more than 50% time	F
6 months or more, less than 50% time	N
6 months or more, 50% time or more	D
Graduate Student Researchers:	
Less than 12 months at any percent time	N
12 months or more, less than 50%	N
12 months or more, 50% or more	E
Postdoctoral Scholars	N
(note: Postdoctoral Scholars accrue sick leave but it must be tracked outside of the payroll system)	

*N= no vacation, no sick leave*

*D= 16 hours vacation, 8 hours sick leave at full time. Prorate based on percent time.*

*E= 16 hours vacation at full time. Prorate based on percent time. No sick leave accrual*

*F= No vacation. 8 hours sick leave at full time. Prorate based on percent time.*

*\*For 9/12 Academic Coordinators sick leave is only accrued for the 9 months of service. Accrual must be manually adjusted at this time to equal 6 hours per month over the 12 months of pay.*