

Summary of change:

- I-4** Clarification of deferral wording
- I-16** Addition of sample cover sheet for on-line submission of appointment cases. An announcement will be made when the on-line process is available
- I-37** Changes to criteria for use of special steps  
Over the past 20 years Red Binder language related to special steps has been modified a number of times in an effort to clarify the usage of the steps. During that time, the use of Associate Professor V was discontinued (Assistant Professor VI has never been used at UCSB) and the language allowing for advancement to Associate Professor IV became more restrictive. These changes, coupled with other influences that make the six-year normative time at Associate Professor problematic, have prompted the proposed revisions. Practices at other UC campuses vary in terms of the use of Associate IV and V. While all campuses use Associate IV, only a few use Associate V. Most defer to the APM language related to the steps rather than campus specific language. In practice this translates to a wide variety of practices in terms of use of the special steps. The current proposed language reverts to the Red Binder wording from 1995 as applied to Associate IV; “may be utilized for advancement when a member of the ladder faculty shows clear evidence of work that is likely to lead to promotion in the near future when completed or published...” In addition, the process and expectations for further advancement within Associate IV to an off-scale (or additional off-scale) salary are expanded upon. The result of less strict language would be to allow an additional three years (normative time at Associate IV) at the Associate level, with the possibility of additional time with more off-scale in some cases. Please note that these changes will be implemented with the next cycle of cases.
- I-44** Guidelines for submission of retention salary actions  
This is a new section. Currently no written procedures exist for the processing of retention cases. The new policy is intended to clarify campus practice of matching outside salary offers and well as the documentation necessary for such efforts.
- I-51** Guidelines on materials that may be submitted to extramural reviewers  
This is a new section. Currently no written procedures exist related to what items may or may not be sent to external reviewers as part of a career review (promotion, merit to Prof. VI, merit to Prof Above Scale). The new policy is intended to provide guidance to departments to assure consistency in the review process and equal treatment of departmental faculty under review.

- I-67** Clarification of guidelines for review of academic administrators
- II-8** Correction of delegation for authority on Continuing Lecturer FTE requests
- II-10** Addition of deferral option for Continuing Lecturer merits, consistent with MOU
- III-1, 25** Inclusion of Academic Coordinators with series requiring July 1 merit/promotion date and deadlines for submission of cases  
Academic Coordinators are the only academic appointees who are not on a July 1 schedule for advancement effective dates. Although departments are encouraged to use a July 1 date, they may also choose to use the actual yearly anniversary date as the advancement date. This creates inequity in terms of the initial advancement as well as difficulty in tracking the advancement eligibility. The proposed changes would move the effective date for advancement cases for Academic Coordinators to July 1, consistent with all other academic titles. The transition for affected individuals would take place over the next two years. Departments will be notified individually of changes for employees on other than 7/1 cycles.
- IV-2** 2009-10 employment limits for graduate student employees
- V-4, 5, 6, 10, 13, 17, 20, 23** Revised search reporting methodology for Permanent vs. Temporary academic appointments  
Currently processes for recruitment of academic employees are differentiated by "Teaching" vs. "Research". This system has proven problematic for appointments of temporary teaching titles and Academic Coordinators, has been confusing to departmental personnel, and has not provided the necessary feedback required for reporting purposes. The proposed policies reflect a new separation of recruitment processes into "Permanent" vs. "Temporary" academic appointments. Summary A and B forms are reworked to collect necessary information, streamline the process, and clarify routing.
- VI-9** Pay and service periods for 2009-10
- VI-10, 17** Summer 2009 additional compensation dates as well as incorporation of new DOS codes issued by Office of the President

I-4  
**ELIGIBILITY, DEFERRAL AND MANDATORY REVIEW**  
(Revised 08/07)

**I. Service Credit**

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

Time approved as "off-the-clock" should not be viewed as an extra year at rank, but rather as time excluded from consideration. Faculty are not expected to produce any additional materials or publications during this time, and a lack of such should not be viewed negatively in any review process. The file is to be evaluated without prejudice as if the work were done in the normal period of service.

**II. Regular Ranks, Steps, Normal Periods Of Service**

The Assistant Professor Rank contains steps I-VI, although steps I and VI are not used at UCSB. The Associate Professor Rank contains steps I-V, although step V is not used at UCSB. 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 Professor V and Associate Professor IV (Red Binder I-37). The Professor rank contains steps I- IX as well as Above Scale. Normal service at steps I-IV is 3 years. Service at step V and above may be for an indefinite time: however, normal service is 3 years at steps V through VIII and 4 years at step IX or Above Scale. Eligibility for normal advancement occurs after the normal time of service at each step. If not advanced in step at that time, the candidate will continue to be eligible each year until advancement in step occurs.

**III. Advancement Effective Dates**

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

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

**IV. Mandatory Five-Year Reviews**

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

Faculty holding 100% administrative positions are exempt from mandatory five-year reviews since they face a separate review policy.

**V. Deferral Of Review**

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

Deferral requests made by Assistant Professors must be accompanied by a thorough evaluation by the Chairperson. Review for promotion to tenure will normally take place by the end of the 6<sup>th</sup> year of service but may be deferred until the 7<sup>th</sup> year. Deferral beyond the 7<sup>th</sup> year will not be considered. The Formal Appraisal review may not be deferred.

I-16 (new)

ACADEMIC PERSONNEL APPOINTMENT FORM

For ladder faculty and Lecturer SOE series  
Informational only- all cases are to be submitted on line  
(Revised 11/08)

Name \_\_\_\_\_

Department \_\_\_\_\_

PRESENT STATUS

PROPOSED STATUS

Institution \_\_\_\_\_

Rank and Step \_\_\_\_\_

Current Title \_\_\_\_\_

Proposed Salary \_\_\_\_\_

Current Salary \_\_\_\_\_

O/S Supplement \_\_\_\_\_

Effective Date \_\_\_\_\_

Department Vote: \_\_\_\_\_ yes: no: abstain: not voting: \_\_\_\_\_

Statement of voting method and comments on the vote:

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**Check all documents to be submitted.**

For all Appointments:

\_\_\_ Departmental letter of recommendation

\_\_\_ Current CV or bio-bibliography

\_\_\_ Chair's confidential letter (optional)

\_\_\_ Minority Opinion letter (optional)

\_\_\_ Redacted Minority Opinion letter

\_\_\_ UCSB Biography form

\_\_\_ Extramural Letters

total # of letters included \_\_\_; # suggested by department \_\_\_\_\_

\_\_\_ Sample Solicitation Letter

\_\_\_ List of items sent to reviewers

\_\_\_ Copy of any of these items not otherwise included in the case

\_\_\_ List of Referees, including brief biography and indicating who selected referees

Submit as hard copy:

\_\_\_ Copies of publications

\_\_\_ Start-up commitment requests

\_\_\_ Other one-of-a-kind items

**"SPECIAL" OR "OVERLAPPING" STEPS**

(Revised 06/06)

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

Once advanced to a special step, the normal progression is for promotion to the next rank. Upon advancement to a special step, the faculty member is eligible for review for promotion each year until promoted the following year. If promoted earlier than the normative time at step (two years at Assistant V and three years at Associate IV) normal years at step for Step I of the higher rank, promotion should be lateral and eligibility for future merit will be determined based on the combination of years at the special step and years at Step I at the higher rank. If promoted at the normative time at step, the "on-time" advancement will be to Step II of the higher rank. The appropriate level of advancement in the case of promotion after more than the normative time at step will be dependent on the strength of the case and should not be determined simply based on time served at the special step.

Further advancement within the special step will not occur at less than the normative time at step (two years at Assistant V and three years at Associate IV) and will require evidence that promotion is likely to occur with the next review. happen only in very rare and unusual circumstances.

I-44 (new)  
RETENTIONS  
(04/09)

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

Required documents;

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

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

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

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

**I-51 (new)**  
**Materials to External reviewers**

In cases where external letters of recommendation are required (promotion to Associate Professor, promotion to Professor, advancement to Professor VI or Professor Above Scale) materials are traditionally provided to the external evaluators to assist with them in their evaluation. While departments maintain a large amount of flexibility concerning what is sent, the following guidelines must be observed:

Reviewers must at a minimum be provided with a copy of the candidates CV or Bio-bibliography and access to copies of publications. While departments may choose to send copies of publications with the letter requesting evaluation, they may also ask that the reviewer inform them if they do not have access to the publications at which time they will be provided. Documents may be provided via on-line links or copied on to CD and sent to the evaluators if appropriate.

Departments may choose to send other materials such as a self statement covering one or more of the review areas to the external reviewers. However, if materials beyond the CV/bio-bib and publications are sent, the same procedures must be followed for all faculty in the department for similar reviews. Departments should also use caution in providing documents beyond the usual items. Teaching evaluations, correspondence, and materials from past cases are examples of items that should not be sent to evaluators.

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

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



**EVALUATING THE SERVICE OF ACADEMIC ADMINISTRATORS**

(Revised 01/06)

**Department Chairs***Evaluating the service of Academic Administrators*

*Academic Administrators, including* Department Chairs, *Directors, Associate Deans, and Deans* who discharge their administrative duties with thoroughness and distinction and who give effective academic leadership to their department may not have much time left for teaching and research. It may be difficult for *Administrators chairs* to maintain themselves as scholars during the period of service *in the administrative position as chair*. We must acknowledge the fact that they have had to give up to administrative duties time they would otherwise have been able to devote to teaching and scholarship, and we must take into account the extent and quality of their administrative service in considering them for merit increases and for promotions. The principle involved is that academic leadership is, in itself, a significant academic activity. It is entirely appropriate to award merit increases to *an Administrator Department Chair* primarily, *although not entirely*, on the grounds of excellence of service *as chair*, and to award accelerated increases for particularly outstanding service.

Promotions in rank *for Department chairs*, and advancement to Step VI of the Professorship or to an above scale salary, should also be considered with this criterion in mind. However, such advancements are of greater significance than merit increases within rank and can not be justified wholly on the basis of administrative service. Nevertheless, although promotion from Associate Professor to Professor requires evidence of intellectual attainment and growing distinction, substantial evidence of these qualities may well be found in the way in which successful *administrators chairs* perform their duties. In the case of promotion for Assistant Professor to tenure rank, the requirement of "superior intellectual attainment, as evidenced both in teaching and research or creative achievement" can not be waived. But an Assistant Professor who has served effectively as *an Administrator Department Chair* has evidenced a considerable degree of intellectual maturity if he/she has provided academic leadership for persons of higher rank, and this certainly should count heavily in considering his/her promotion to tenure.

In assessing the merits of *an Administrator Department Chair*, it will be necessary to follow the regular procedures of review. However a special effort should be made to assure that *Administrators Chairs* are not passed over, *and* The advice of *Deans and* other administrative officers, *individuals outside of the department, and reviewing agencies* will be particularly important in such cases. After *an Administrator Chair* leaves the position, his/her further advancements in salary or rank should be judged by the regular criteria. *Advancements in salary or rank should not be delayed in any way by reasons of acceleration received on the grounds of distinguished service as a Chair.*

*Appointment and terms of service*

*Appointment to an academic administrative position is subject to approval by the Chancellor or Chancellor's designee as well as applicable Academic Personnel Manual policy.*

*Individuals appointed to a full time administrative position are not subject to the mandatory five year review on the Professorial title, but will be reviewed in the administrative position once each five years as required by Senior Management Group and Academic Personnel Manual policy. Individuals compensated via an administrative stipend will continue to be subject to review on their Professorial title.*

*Department Chairpersons normally serve terms of from three to five years.*

*Academic Deans, Directors, and Department Chairpersons*

The initial appointment of a Dean or of a Director of a campus Organized Research Unit is recommended to the President by the Chancellor of the campus after consultation with the appropriate Divisional

~~advisory committee of the Academic Senate. Appointment of a Director of a University-wide ORU is recommended by the President to The Regents after appropriate consultation. Appointment is subject to periodic reviews, which are scheduled as early as the fifth year and not later than the beginning of the seventh year of service by the incumbent.~~

~~Chancellors appoint Department Chairpersons under their jurisdiction after consultation with the tenured members of the departments concerned and with the appropriate Dean or Vice Chancellor. Most Department Chairpersons serve terms of from three to five years.~~

**II-8**  
**GUIDELINES FOR DEPARTMENTAL SUBMISSIONS OF NSF**  
**RESOURCE ALLOCATION REQUESTS**

(Revised 01/06)

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

1. The teaching function of an academic department or program is to be discharged typically by members of the Academic Senate (ladder faculty and Lecturers with Security of Employment);
2. Teaching needs not met by ladder faculty or LSOE's will be met by Teaching Assistants and Associates as an integral part of their graduate training whenever this is possible and appropriate;
3. Unit 18 non-senate faculty will be employed when needs cannot be met as described under 1. and 2. above. The allocation of an FTE in support of a Continuing Appointment will be granted by the *Associate Vice Chancellor for Academic Personnel, upon recommendation from the* Dean, with reference to the long-term programmatic development of the individual department or program consistent with the overall mission of the University. *In cases of College based programs the FTE will be granted by the Associate Vice Chancellor for Academic Personnel.*

Under Article 7.B (Section B.1.) of the present contract, appointments at or beyond six years of service can be made on a continuing basis, only when the following criteria have been met with respect to the initial year of the Continuing Appointment:

- a) There is a departmental need for courses to be taught by non-senate faculty in the area in which the non-senate faculty has taught,
- b) The courses to be taught by the non-senate faculty do not represent temporary augmentation, as defined below.
- c) The non-senate faculty member is qualified to teach those particular courses,
- d) A Continuing Appointee is not already expected to teach the course(s).

Justification of departmental need should be made in the context of the department's five-year plan and only after full assessments of the programmatic and fiscal components of instructional need. In assessing such requests, reviewing agencies will consider whether the courses associated with the requested provisions are elective or required; how frequently they have been offered over the last three years and with what enrollment; how these courses are normally staffed, whether ladder faculty are currently available to teach them, and the plans for recruiting ladder faculty. Also considered are plans for program development; the character and needs of

the academic programs in the department; competing demands for faculty positions, and the appropriate balance of temporary and ladder positions within the department. When, as a result of this assessment, it is determined that the courses covered by the proposed Continuing Appointment should continue to be taught by a non-senate faculty member for the next year, the University will consider that the instructional need test has been met.

Instructional need will not exist when:

- a) A Ladder faculty member or Lecturer SOE is designated to teach the course(s) during the next academic year.
- b) A Teaching Assistant or Associate is designated to teach the course(s) during the next academic year.
- c) A Visiting Professor or Adjunct Professor is assigned to teach the course(s) during the next academic year.
- d) The assignment of the non-senate faculty to teach the course(s) conflicts with established departmental academic program requirements for intellectual diversity
- e) Courses in the area in which the non-senate faculty has taught and is currently qualified to teach will not be offered during the initial appointment year.

If any of the above conditions will occur, they must be clearly discussed and justified in the departmental needs request.

Augmentation of Continuing Appointment base:

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

- Faculty leaves
- Circumstances which require emergency course coverage
- The need to deliver instruction until newly hired ladder rank faculty are scheduled to begin teaching
- Temporary and/or unanticipated fluctuations in enrollment
- Programmatic change designed to meet the academic mission of the University

Any augmentation not meeting the above definitions will be considered a permanent augmentation to the individual's Continuing Appointment base percentage. Reduction of the Continuing Appointment base may only take place in accord with Article 18, Layoff.

Departmental consideration of the continuing need will take place no later than one calendar year prior to the 18<sup>th</sup> quarter of service of the NSF currently fulfilling the teaching responsibilities. An annual call will be issued by the office of Academic Personnel.

A description of the procedure whereby the department arrived at its recommendation including

a tabulation of any vote taken by the department faculty regarding recommendation of the case should also be included in the departmental needs request. If the department makes a decision to not request a Continuing Appointment resource allocation, the Chairperson should communicate that decision and the justification for the decision by memo to the Dean no later than the deadline established in the annual call. The case will then be reviewed by the Dean *and Associate Vice Chancellor for Academic Personnel* for conformity with MOU requirements and campus policy. Academic Personnel will provide this review for the College of Creative Studies and for any College initiated reviews in Letters & Science, Engineering and Education.

## II-10

### **Excellence Reviews and Subsequent Merit Reviews**

(Revised 04/08)

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

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

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

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

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

Section D states:

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

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

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

#### **II. Evaluation of Performance**

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

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

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

### **III. Review Procedure**

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

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

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

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

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

In addition, at least one of the following:

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

The individual under review may also provide:

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

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

## **V. Extramural Evaluations**

For the Excellence Review and for promotion to Senior Lecturer, in addition to the materials listed above, the department must submit five or more letters of recommendation. These letters may be solicited from former students and graduates who have achieved notable professional success since leaving the university, reviewers who can comment on the candidate's command of the subject and continuous growth in the subject field, or any appropriate referee with knowledge of the candidate's performance.

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

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

## **VI. Other Evidence**

Evidence of curricular development and renewal should be documented. Critical experimentation with materials and methods for teaching improvement, publication of articles,



and presentation of papers at professional meetings or workshops may be submitted as evidence of commitment to excellence in teaching.

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

## **VII. Service**

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

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

## **VIII. Reviewing Agencies**

1. The departmental review committee prepares the letter of recommendation after appropriate review has taken place. The letter of recommendation should accurately describe all review committee views including those of dissenting members. The department's recommendation, with accompanying material, is sent to the office of the appropriate Dean.
2. The Dean of the appropriate college makes an analysis and recommendation based on the materials and recommendation submitted by the department. In addition to the departmental case, however, the Dean has access to departmental and Dean's recommendations from previous reviews. The Dean has authority on merit cases. For individuals appointed at the College level the Associate Vice Chancellor for Academic Personnel has authority for the merit review.
3. The Associate Vice Chancellor for Academic Personnel has authority for Excellence reviews, and may request review by the Committee on Academic Personnel when he or

she determines that such a review is necessary for proper evaluation.

4. The final decision in all merit and Excellence reviews is based on the documentation presented in the departmental file, as well as the recommendations of the Dean and the Committee on Academic Personnel (in those cases where CAP is asked to review).

III-1  
OTHER ACADEMIC TITLES  
General Information  
(Revised 01/09)

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, and Academic Coordinator series will be effective July 1.

Requests for advancement are due according to the following schedule:

<u>Series</u>	<u>Due date</u>	<u>Submit to:</u>
Professional Research	March 1	Office of Research
Project Scientist, Specialist	April 1	Office of Research
Academic Coordinator	May 1	Dean or AVC for Academic Personnel as appropriate

~~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, six months or more of service, with or without salary, in any fiscal year counts as one full year of service. 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~~ the Project Scientist, Specialist, and Academic Coordinator 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 in the Professional Research series 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 01/09)

**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.

*All merits and promotions will be effective July 1. Completed cases must be submitted to the appropriate control point by May 1, preceding the effective date.*

**B.C.** Advancement from one step to the next is based on merit. Promotion to a higher rank will require significant change in the scope and complexity of the program administered.

**C.D.** 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 *or Associate Vice Chancellor for Academic Personnel, as appropriate*

Promotions

Associate Vice Chancellor for Academic Personnel

IV-2  
**EMPLOYMENT LIMITS DURING MONTHS THAT INCLUDE  
 INTER-QUARTER AND SUMMER PERIODS  
 FOR REGISTERED GRADUATE STUDENTS  
 2009-10**  
 (Revised 06/08)

The following chart indicates the number of hours or time factors which may be reported during those months which include inter-quarter or off-quarter period without exceeding the permissible total employment computed at 50% for academic quarter service and 100% for inter-quarter or summer service:

Pay Basis During <u>Academic Quarter</u> 11 month GSR	<u>Month</u>	<u>Period at 50%</u>	<u>Period at 100%</u>	Maximum which may be reported for the month:	
				<u>Hours</u>	<u>Percent</u>
	December	12/1/09 thru 12/12/09	12/13/09 thru 12/31/09	148	.8043*
	January	1/4/10 thru 1/31/10	1/1/10 thru 1/3/10	88	.5238**
	March	3/1/10 thru 3/20/10	3/21/10 thru 3/31/10	124	.6739***
	June	6/1/10 thru 6/11/10	6/12/10 thru 6/30/10	140	.7955

  

Pay Basis During <u>Academic Quarter</u> 9 month (TA or Associate)	<u>Month</u>	Period during which employment beyond <u>50% may occur</u>	Maximum <b>Additional</b> time reported beyond 50% for the month:	
			<u>Hours</u>	<u>Percent</u>
	December	12/13/09 thru 12/31/09	56	.3044*
	January	1/1/10 thru 1/3/10	4	.0238**
	March	3/21/10 thru 3/31/10	32	.1739***
	June	6/12/10 thru 6/30/10	52	.2955

\*includes December 24, 25 and 31 holidays

\*\*includes January 1 holiday

\*\* includes March 26 holiday

**PROCEDURES FOR RECRUITMENT OF  
LADDER RANK FACULTY AND EQUIVALENTS OTHER PERMANENT ACADEMIC APPOINTMENTS**

(Revised 05/07)

- A. FTE Retention:** Before initiating a search, the department chair should review Red Binder I-14-- Faculty Appointments, and I-13--Retention of Academic FTE. The department must have prior approval from the Chancellor for the retention of the FTE provision.
- B. Preparing the Advertising Packet:** This packet contains all relevant information on how the position will be advertised, the efforts to be made to ensure equal employment opportunity, and to reach a diverse applicant pool in which women and minorities are represented. At a minimum, the Advertising Packet must include:

- Recruitment Plan for Academic Vacancies form (Red Binder V-13).
- One copy of advertisement.
- One copy of the Academic Position-Advertising Order Form (Red Binder V-15) for each journal where the advertisement is to appear. **Note:** the ad must appear in at least one print (non-electronic) journal. Retain all "tear sheet" copies of advertisements as they appear in the publication and on-line. to satisfy Labor Certification requirements

**Additional documents, when applicable:**

- A note or memo indicating imminent journal deadlines for ads or special handling instructions.
- One copy of mailing list used in disseminating this position.
- Other relevant materials for the advertisement and the recruitment, e.g. information on publication schedule of journals, advertising rates, sample letters to applicants.

**Approval signatures :**

- Director of Equal Opportunity
- Dean/University Librarian

**Processing Advertisements:**

Responsibility for the placement of ads with vendors, distribution of advertisement flyers, etc. is to be determined by each College.

- C. Processing Applications/Vitae; Scheduling Interviews:** The recruiting department and/or the departmental search committee:
1. Sends the applicant, upon receipt of application, a letter acknowledging receipt of applicants including the link to the Applicant Survey ( <http://survey.ucsb.edu/asf/>) and the position name/number ~~• a blank Applicant Survey Form (Red Binder V-17)~~
  2. Screens applicants until a pool of finalists has been decided. Fill out the Applicant Evaluation Form (Red Binder V-19) for each application received.
  3. Tallies the Applicant Survey Forms from responding applicants. These forms The responses may be obtained by calling the Office of Equal Opportunity, extension 2701. Applicants may also complete the survey on-line at <http://survey.ucsb.edu/asf/>. The results of this tally will be required in the EO/AA Report in the next step.
  4. Prepares the Equal Opportunity/Affirmative Action Recruitment Report (Red Binder V-11) and forwards it to the Office of Equal Opportunity or College office for review.



5. Upon receiving the Dean's approval for campus interviews, conducts the interviews of finalists. All recruitment candidates must follow the same interview schedule. This rule applies to candidates who are former employees, or those who currently hold temporary academic positions at UCSB.

**D. Making the Academic Appointment:** The department fills out the Summary A--Recruitment Activities for Ladder Rank Faculty & Other Permanent Academic Appointments ~~Equivalents, and Temporary Teaching Faculty~~ and forwards it to the Dean's Office for approval prior to submission to the Equal Opportunity Office. Once all signatures are obtained, the form is forwarded to Academic Personnel as part of the appointment case ~~submitted to the Dean's Office (Red Binder V-20)~~ for the candidate.

V-5  
**PROCEDURES FOR RECRUITMENT OF  
TEMPORARY **ACADEMIC** POSITIONS**  
(Revised 01/08)

**A. Preparing the Advertising Packet:** This packet contains all relevant information on how the position will be advertised, the efforts proposed toward providing equal employment opportunity to all interested applicants, and in reaching a diverse applicant pool in which women and minorities are represented. At a minimum, the Advertising Packet must include:

- Recruitment Plan for Academic Vacancies (Red Binder V-13) .
- One copy of advertisement.
- The recruiting department is expected to cover all advertising costs for temporary teaching and research positions. In special circumstances and upon request by departments, the Dean's office may approve and pay for advertising costs for these positions. One copy of an Advertising Order Form (Red Binder V-15) for each journal where the advertisement is to appear, and for which there is a charge should be attached. If the ad is free, an Advertising order form is not needed.

**Additional documents, when applicable:**

- A note or memo indicating imminent journal deadlines for ads or special handling instructions.
- One copy of mailing list used in disseminating this position.
- Other relevant materials for the advertisement and the recruitment, e.g. information on publication schedule of journals, advertising rates, sample letters to applicants.

**Approval signatures** required:

- Director of Equal Opportunity
- Dean (teaching titles) or Associate Vice Chancellor for Research (research titles)

**Processing Advertisements:**

Responsibility for the placement of ads with vendors, distribution of advertisement flyers, etc. is to be determined by each College.

**B. Processing Applications/Vitae; Scheduling Interviews:** The recruiting department and/or the departmental search committee:

1. Upon receiving applications, sends the applicant a letter acknowledging receipt of *applicants including the link to the Applicant Survey ( <http://survey.ucsb.edu/asf/>) and the position name/number* ~~• a blank Applicant Survey Form (Red Binder V-17)~~
2. Screens applicants until a pool of finalists has been decided. Fills out the Applicant Evaluation Form (Red Binder V-19) for each application received.
3. Tallies the Applicant Survey Forms from responding applicants. ~~These forms~~ *The responses* may be obtained by calling the Office of Equal Opportunity, extension 2701. Applicants may also complete the survey on-line at <http://survey.ucsb.edu/asf> The tally results will be required later for form Summary A in Step C.
4. Interviews the finalists. When campus interviews are not feasible due to logistics or lack of funds, interviews by phone or other technology may be acceptable.

**C. Making the Academic Appointment:** ~~For teaching titles, the department fills out the form Summary A Recruitment Activities for Ladder Rank Faculty & Equivalents, and Temporary Teaching Faculty, to be submitted to the Dean's Office. (Red Binder V-20). For research titles,~~ The department fills out the form

Summary B- Recruitment Activities for ~~Temporary Academic Research Titles~~ to be submitted to the Office of Equal Opportunity (Red Binder V-23). ~~and forwards it to the Equal Opportunity Office for approval. Once returned to the Department, the form should be submitted along with the hiring paperwork to the Dean's Office, Office of Research, or other control point as appropriate.~~

V-6  
SUPPLEMENTAL INFORMATION ON ACADEMIC RECRUITMENT  
(Revised 05/06)

**I. General**

The Chair or Department Head is responsible for the following:

1. Determining the length of the recruitment period.
2. Determining the publications or recruitment sources to be used. **Note:** For permanent positions the ad must appear in at least one print (non-electronic) journal to satisfy Labor Certification requirements
3. Setting a realistic deadline for applications so that campus EO/AA policy and procedures may be carried out without undue pressures (i.e. advertising time too short to attract a reasonable number of applicants or a diverse pool, or the need to interview candidates before the deadline to apply).
4. Meeting with the search committee to develop appropriate procedures and review criteria for the application process, i.e. ensuring that search materials will be handled meticulously, that the required Applicant Survey Form is sent to each applicant, and that an appropriate schedule is established for the search committee to complete its review of applications and bring its recommendation to the department faculty.

To minimize the potential for losing strong applicants, the EO/AA review to request permission for interview should be prepared as soon as possible after the application deadline. If delays in making finalist determination are unavoidable, chairs should ensure that all applicants are informed of the time frame for the selection process as encouragement for remaining in the applicant pool.

5. When an applicant pool does not contain sufficiently qualified persons to fill a vacancy, or when candidates decline offers for interviews and/or positions, it may become necessary to extend or reopen a search. The chair is responsible for completing a new Recruitment Plan for Academic Vacancies and submitting it through channels for approval.
6. Chairs are responsible for contacting prospective candidates and inviting them to campus for an interview. Additionally, they are charged with ensuring that the proposed interview schedule is appropriate and that it is applied uniformly to all candidates.

It is the campus goal that departments allow three months for advertising a ladder rank position, and from one-and-one-half to two months for lecturer or research positions.

Whenever possible, ladder faculty searches should set an application deadline between November 15 and December 31. Application deadlines later than February 1 should be avoided when anticipating a July 1 start date. Departments should be mindful of the AAU recruitment deadline of April 30, and the Intercampus deadline of April 1 (APM 500-16).

**II. Advertisement**

All academic advertisements, whether the advertising source is free or for a fee, must be processed through these Procedures for Open Recruitment for Academic Appointments.

For ladder faculty recruitment and temporary faculty recruitment, the wording of the ad must be approved by the Director of Equal Opportunity and the Dean. All faculty advertisements will be posted on the Academic Personnel home page at <http://www.acadpers.ucsb.edu> and the UCSB Academic Employment Opportunities Bulletin at <http://www.aa.ucsb.edu>.

For research recruitment, the wording of the ad must be approved by the *Office of Research and* the Director of Equal Opportunity. *All advertisements will be posted on the UCSB Academic Employment Opportunities Bulletin at <http://www.aa.ucsb.edu>.*

#### A. Advertising Costs

Every effort should be made to keep advertisements brief in view of the costs involved. Additional costs, beyond those allocated by the college, are expected to be borne by the recruiting department, unless other arrangements are approved by the Dean.

Due to limited funds, departments are expected to absorb the advertising costs for lecturer and research recruitments. As alternatives, departments are encouraged to disseminate job flyers using departmental mailing lists, and to advertise free of charge in the *UCSB Academic Employment Opportunities Bulletin*. This bulletin appears on-line (<http://www.aa.ucsb.edu>) and is updated frequently. Departments may submit academic job ads for this bulletin any time during the year (call x2701 for details).

#### B. Basic Elements of An Advertisement

1. Name of campus department and the academic program where the vacancy is located.
2. For ladder faculty advertisement, the level of the position must reflect the approved level in the Open Provision Control letter and may be general (open level, tenure track or senior level) or specific (Assistant Professor, Professor).

*Examples: Open level, salary and rank dependent on qualifications; or Assistant Professor preferred, however, applicants for senior levels will also be considered and are encouraged to apply.*

3. The area of specialization/research. Preference or emphasis for a particular area of specialization can also be included.
4. The effective date of the position. (e.g.. effective July 1, 2001; or effective 2001-02).
5. Include "Ph.D. required" or "Ph.D. normally required by the time of appointment." If other academic degree is required, so state.
6. Other requirements, if any. Care should be taken to clearly identify "required" qualifications from "desired" qualifications for the position.

*Examples: one year University teaching experience required; or, evidence of excellence in University teaching and research required; or, potential of excellence in University teaching and research required.*

7. Specify what constitutes a complete application:
  - a curriculum vita or dossier
  - statement of research interests (optional)
  - samples of published work (optional)
  - number of references required, and the manner by which a letter of recommendation is obtained.

*Examples: Submit vita and arrange to have three letters of recommendation sent to...; or, Submit vita and names and addresses of three references to ...;*

8. Specify a deadline for receiving applications. This is a standard practice. However, in highly specialized areas where small pools of applicants are anticipated, any of the following wording provides greater flexibility for accepting applications:

- Position will remain open until filled.
  - Apply by October 1, for primary consideration, however, position will remain open until filled.
  - Screening of applicants begins on March 1, however, position will remain open until filled.
  - Applications considered beginning March 1, and every two weeks thereafter.
9. Full name and address of contact person and where to send application materials.
  10. The following wording should be included in each ad: "The department is especially interested in candidates who can contribute to the diversity and excellence of the academic community through research, teaching and service."
  11. The advertisement should end with: "An Equal Opportunity/Affirmative Action Employer," or "An EO/AA Employer."
  12. For ladder recruitment, departments should take into consideration the following statements by former Vice Chancellor Hammes: (from V.C. Hammes' memo of June 26, 1989, to Departmental Affirmative Action Committee Chairs)

"Two major recruitment practices have been identified that hamper affirmative action.

- Faculty positions are defined very narrowly thereby decreasing the (applicant) pool size.
- Usually affirmative action goals are best served by recruitment at the Assistant Professor level. In several cases "senior" Assistant Professors were hired since they invariably have a better record, although not necessarily better potential, than beginning Assistant Professors. This again restricts the pool size.

Campus recruitments will be carefully monitored by Deans, with special attention paid to the above."

### III. Applicant Survey Form (Red Binder V-17)

The Applicant Survey Form should be sent to each applicant who responds to the position advertisement, and who meets the qualifications stated in the advertisement. This form is pre-printed with a "BUSINESS REPLY MAIL" for return to the Office of Equal Opportunity. Each applicant should be instructed to complete the Applicant Survey Form which. The survey may also be completed on-line at <http://research.survey.ucsb.edu/asf/asf/htm>. Reply to this survey is voluntary on the part of the applicant. Prior to sending to the applicant, the name of the recruiting department must be filled out on the top part of the form. Be sure to inform the applicant of the position name/number.

The Office of Equal Opportunity will collect all survey replies from the applicants. Call extension 2701 to obtain these survey replies.

### IV. Applicant Evaluation Form (Red Binder V-19)

The Applicant Evaluation Form must be filled out for each application received and retained in the department files. Department staff need to obtain from the Search Committee the relevant information for filling out this form.

The information on this form should be reasonably detailed so as to explain the evaluation given to an applicant. In cases where the number of applicants is large (hundreds), the department may organize the applicants into

general categories (e.g., do not meet position qualifications; do not fit programmatic areas; lack experience), and give similar explanations for each of these categories.

#### V. EO/AA Recruitment Report (applicable only to ladder recruitment – Red Binder V-11)

Once the department has made its preliminary review and narrowed candidates down to a short list, it then requests permission from the Dean to bring finalist candidates to campus for interviews. The Dean will consult the Director of Equal Opportunity prior to making final decisions. For each ladder rank FTE, the Dean's Office will pay for interview trips for up to three finalists, if justified. Occasionally, it is necessary, (primarily for market reasons) to invite more than three candidates for campus interviews. In such cases travel is normally supported by departmental grant/contract, or other funds (see VI below).

The department requests travel funding by submitting an EO/AA recruitment report capturing all recruitment activities up to this point. The report should include the following:

- A general description of the recruitment activities which have taken place. If there are special circumstances, e.g. search reopened, continuing search from last year, so state. Indicate when and where the position was advertised and how many applications were received. What actions were taken in meetings of search committees. State the efforts made to attract women or minority applicants. Comments/suggestions by members of the search committee, recruitment obstacles encountered, reasons cited by candidates for withdrawal from candidacy, should be stated. The representative(s) of the departmental affirmative action committee may choose to submit a separate affirmative action recruitment report. Identify the composition of the applicant pool: number of males, females, whites, Blacks, Asians, Hispanics, American Indians (compiled from replies of Applicant Survey Forms – Red Binder V-17, section III).
- The criteria used in screening and evaluating applicants. It is particularly important to apply the evaluation criteria consistently to each applicant in the pool, including the women or minority applicants. If they were screened out of the pool, explain why.
- A brief synopsis of each finalist candidate's qualifications, experiences, and accomplishments, including comments on their potential for research and teaching.

In the course of the EO/AA review, it is sometimes necessary to review additional files of other candidates not proposed for interview. In this case, a request for additional records will be made by the Dean office.

The time needed for travel approval varies among the colleges/schools. The department may make preliminary travel arrangements pending final approval from the Dean, who will notify the department in writing of his/her approval.

#### VI. Exceptions in Recruitment Travel (ladder recruitment only)

Occasionally when labor market conditions dictate immediate action, the Dean may grant travel approval prior to receiving the EO/AA recruitment report. When exigent travel is applicable, the chair should contact the Dean directly.

With proper justification, the chair may request to bring more than three finalist candidates for campus interviews. The travel costs for the additional candidates must be borne by the department unless other arrangements are approved. Requests for exception to recruitment travel should be directed to the Dean via the Director of Equal Opportunity.

#### VII. Summary Of Recruitment Activities Form

For ladder rank or other permanent academic temporary teaching appointments, the department fills out the Summary A form (Red Binder V-20). For temporary academic appointments, the department fills out the Summary B

*form (Red Binder V-23).* Gender and ethnic data from the Applicant Survey Forms and the EO/AA recruitment report may be used to complete this form. Attach a copy of the position advertisement, mailing lists used, sample letters to prospective candidates, and other relevant information to this recruitment. **Submit** The Summary **A** form is submitted to the Dean's office, *Office of Research, or other appropriate control point* along with the appointment case.

For research title appointments, the process is similar as above except the department fills out Summary B (Red Binder V-23) and submits it to the Vice Chancellor for Research.



Delete whole page (or relocate IRCA statement if necessary)

V-10

**AFFIRMATIVE ACTION FORMS**

(Revised 05/07)

All affirmative action forms used in academic recruitments are listed below. They may be downloaded from the UCS Academic Personnel website <http://www.acadpers.ucsb.edu/forms.html> Departments may also request these forms from the Office of Equal Opportunity, extension 2701.

	Form Number	Red Binder reference
Recruitment Plan for Academic Vacancies	AA-100	V-13
Academic Position- Advertising Order Form	AA -100.1	V-15
Applicant Survey Form On-line survey: <a href="http://research.survey.ucsb.edu/asf/asf.htm">http://research.survey.ucsb.edu/asf/asf.htm</a>	AA-101	V-17
Applicant Evaluation Form	AA-102	V-19
Summary A—Recruitment Activities for Ladder Rank Faculty And Equivalent, and Temporary Teaching Faculty	AA-103	V-20
Summary B- Recruitment Activities for Research Titles	AA-104	V-23

**IRCA STATEMENT**

**IMMIGRATION REFORM AND CONTROL ACT OF 1986**

All campus employment is subject to the Immigration Reform and Control Act of 1986, commonly referred to as IRCA. Before commencing employment, the prospective employee must provide proof of U.S. citizenship or other evidence of eligibility for U.S. employment. Departments are advised to contact the Dean's office and/or the Immigration Counselor (extension 2354) in the Office of International Students and Scholars for assistance in meeting IRCA requirements.

UNIVERSITY OF CALIFORNIA, SANTA BARBARA  
RECRUITMENT PLAN FOR ACADEMIC VACANCIES

(Revised 01/08)

1. DEPARTMENT INFORMATION:

NAME OF DEPARTMENT \_\_\_\_\_ TODAY'S DATE \_\_\_\_\_

TITLE OR LEVEL OF POSITION (TENURE TRACK, TENURED, OPEN, TEMP. FACULTY, RESEARCH, POSTDOC ...)

AREA OF RECRUITMENT OR SPECIALIZATION OF POSITION \_\_\_\_\_ PROVISION DESIGNATION \_\_\_\_\_

2. RECRUITMENT PLAN:

Proposed wording of advertisement: Attach a copy of proposed advertisement to this form.

a. List names of publication(s) where the advertisement is to appear: Note: For permanent positions the ad must appear in at least one print (non-electronic) journal to satisfy Labor Certification requirements \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

b. List names of colleges /universities, professional organizations which you propose to contact: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

c. Indicate which of the above-mentioned recruitment sources are addressed particularly to women and minorities:

\_\_\_\_\_  
\_\_\_\_\_

d. Describe any other recruitment activities you propose to undertake: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

3. BUDGET: Estimated cost of ad: Ad #1: \$ \_\_\_\_\_ ; Ad #2: \$ \_\_\_\_\_ ;

Ad #3: \$ \_\_\_\_\_ ; Ad #4: \$ \_\_\_\_\_ ; Ad #5: \$ \_\_\_\_\_

TOTAL ESTIMATED COST: \$ \_\_\_\_\_

Advertising funds to be used: College funds \$ \_\_\_\_\_  
Departmental funds \$ \_\_\_\_\_

Dept comment/special handling instructions, if any:

\_\_\_\_\_  
Name of Dept. Chair or Director                      Authorized Signature                      Date signed

Form prepared by: \_\_\_\_\_ Phone extension: \_\_\_\_\_

Attachments: Copies of ads, Advertising Order Forms, mailing lists, other information as appropriate.

\*\*\*\*\*

**4. APPROVALS:**

\_\_\_\_\_  
**Director, Equal Opportunity:**  
The attached has/have been reviewed in terms of affirmative action guidelines. I recommend that it/they be approved.

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

\_\_\_\_\_  
**Dean *or equivalent* (for instructional titles only)** The attached advertisement(s) has/have been reviewed and approved.

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

\_\_\_\_\_  
**Office of Research or equivalent (for research titles only)**  
*The attached advertisement(s) has/have been reviewed and approved.*

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

**ROUTING:**

**PERMANENT & TEMP. FACULTY ACADEMIC RECRUITMENT**

**RESEARCH TITLE TEMPOARY ACADEMIC RECRUITMENT**

DIRECTOR OF EQUAL OPPORTUNITY

DIRECTOR OF EQUAL OPPORTUNITY

DEAN/UNIVERSITY LIBRARIAN OR EQUIVALENT

OFFICE OF RESEARCH OR EQUIVALENT

After final approval, confirmation ad copy goes to:

ORIGINATING DEPT  
OFFICE OF EQUAL OPPORTUNITY,  
OFFICE OF ACADEMIC PERSONNEL (FOR PERMANENT POSITIONS)

V-17

Delete page (photo copy of old paper form that is no longer used.)

**SUMMARY A**  
**RECRUITMENT ACTIVITIES FOR LADDER RANK FACULTY AND**  
**EQUIVALENTS AND TEMPORARY TEACHING FACULTY OTHER PERMANENT ACADEMIC**  
**POSITIONS**  
 UNIVERSITY OF CALIFORNIA, SANTA BARBARA  
 (Revised 05/07) 3/09

Recruiting Department	Name of Recommended Appointee				
<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 30%; border-right: 1px solid black; padding: 5px;"><b>Rank of Appointment</b> Title</td> <td style="padding: 5px;">Step</td> </tr> </table>	<b>Rank of Appointment</b> Title	Step	<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 60%; border-right: 1px solid black; padding: 5px;">Today's Date</td> <td style="padding: 5px;">Position Number</td> </tr> </table>	Today's Date	Position Number
<b>Rank of Appointment</b> Title	Step				
Today's Date	Position Number				
Area of Specialization	<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 60%; border-right: 1px solid black; padding: 5px;">Ethnicity</td> <td style="padding: 5px;">Gender</td> </tr> </table>	Ethnicity	Gender		
Ethnicity	Gender				
<b>Length of Appointment</b>	Effective Date of Appointment				

**1. APPLICANT POOL DATA**

		ETHNIC GROUP <sup>※</sup>							
		(A)	(B)	(C)	(E)	Minorities	(F)	(U)	
		Black	Asian	American Indian	Hispanic		White	Ethnicity Unknown	TOTAL
Total number of applicants:	Male								
	Female								
	Sex Unknown								
	Total								
Number of applicants meeting qualifications (as advertised)	Male								
	Female								
	Sex Unknown								
	Total								
Number seriously considered (semi-finalists):	Male								
	Female								
	Sex Unknown								
	Total								
Number interviewed: (list their names on No. 3 next page)	Male								
	Female								
	Sex Unknown								
	Total								

(Note: "Minorities" equals the sum of Groups A, B, C, and E. "TOTAL" equals the sum of Groups "Minorities", F, and U)

2. Number of applicants who voluntarily identified themselves as:

Disabled:       Special Disabled Veteran:       Vietnam Era Veteran:       Other Veteran:

- <sup>※</sup> **Ethnic Groups:**
- A = Black/Afro American** (not of Hispanic origin)
  - B = Asian or Pacific Islander** (Chinese/Chinese American ; Japanese / Japanese American; Filipino /Pilipino; Pakistani / East Indian ; Other Asian)
  - C = American Indian or Alaskan Native**
  - E = Hispanic** (including Black individuals with Hispanic origin) (Mexican /Mexican American / Chicano; Latin American / Latino ; Other Spanish /Spanish American)
  - F = White** (not of Hispanic origin)
  - U = Unknown Ethnicity**

**Please attach to this form:** 1) Recruitment Plan ( form V 13 AA 100) and one copy of ad; 2) one photocopy of each ad as appeared in journals; 3) mailing lists (if any) and other relevant recruitment info.; 4) One copy of vita of all finalists.

Summary A **Forms /** — **Name Position No.** \_\_\_\_\_

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

Names of Finalists	Sex			Tentatively Offered Position		Black	Asian	Ethnicity			
	Male	Fem	Unk	Yes	No			American Indian	Hispanic	White	Unknown
A.											
B.											
C.											
D.											
E.											
<del>F.</del>											
<del>G.</del>											

4. State the **major criteria** used in rank ordering above and in making the selection of candidate for appointment (e.g. on basis of academic excellence, area of research or specialization, breadth of experience, positive letters of recommendation, etc.).

5. Basis for non-selection of a minority or a woman candidate. (If a woman or a minority was interviewed but not selected, explain why **were deemed not to be the most qualified**)

6. **Recruitment Sources:** Document the results of all recruitment contacts below.

a. <b>Advertisements:</b> How many applicants were located as a result of advertisements in all professional journals? List names of journals or web site and the date of publication or posting below. In addition a photocopy of each ad as it appeared in the publication or web site must be attached.		Black	Asian	Am.Ind	Hispanic	White	Unknown
	Male						
	Female						
	Unknown						
	Total						

List names of journals below. Use additional sheet if necessary.

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b. <b>Direct Contact:</b> How many applicants were located through direct contact with individual colleagues, or during professional meetings/conferences?		Black	Asian	Am.Ind	Hispanic	White	Unknown
	Male						
	Female						
	Unknown						
	Total						

Summary A Form /

Name Position No. \_\_\_\_\_

List names of individuals and associated institutions, names of conferences. Use additional sheet if necessary.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

<b>c. Contact with institutions:</b> How many applicants were located as a result of contacting other educational or professional institutions?		Black	Asian	Am.Ind	Hispanic	White	Unknown
	Male						
	Female						
	Unknown						
	To t a l						

List names of institutions. Use additional sheet if necessary.

\_\_\_\_\_  
\_\_\_\_\_

<b>d. Other:</b> What other recruitment sources were utilized during the search but not listed above, e.g. newspapers, television, radio, etc.?		Black	Asian	Am.Ind	Hispanic	White	Unknown
	Male						
	Female						
	Unknown						
	To t a l						

List names of sources:

\_\_\_\_\_  
\_\_\_\_\_

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

phone extension \_\_\_\_\_

**Route in order of approvals**

**APPROVALS:**

\_\_\_\_\_  
Department Chairperson

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

\_\_\_\_\_  
Dean/University Librarian

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

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

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

\_\_\_\_\_  
~~Associate Vice Chancellor for Academic Personnel~~

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

**Please attach to this form:**

- 1) Recruitment Plan (form V-13 AA-100) and one copy of ad
- 2) One photocopy of each ad as appeared in journals
- 3) Mailing lists (if any)

4) ~~and~~ Other relevant recruitment info

5) One copy of vita of *each* ~~all~~ finalist



**SUMMARY B**  
**RECRUITMENT ACTIVITIES FOR TEMPORARY ACADEMIC POSITIONS RESEARCH TITLES**  
**UNIVERSITY OF CALIFORNIA, SANTA BARBARA**  
 (Revised 04/08) 3/09

Recruiting Department <b>ORU</b>	Name of Recommended Appointee
<b>Rank of Appointment Title</b> Step	Today's Date                                      Position Number
Area of Specialization	Ethnicity    Gender
<b>Length of Appointment</b> Effective Date of Appointment	<b>End Effective</b> Date of Appointment

**1. APPLICANT POOL DATA**

		<b>ETHNIC GROUP</b> *							
		<b>(A)</b>	<b>(B)</b>	<b>(C)</b>	<b>(E)</b>	<b>(F)</b>	<b>(U)</b>		
				<i>American</i>		<i>Minori-</i>		<i>Ethnicity</i>	
		<i>Black</i>	<i>Asian</i>	<i>Indian</i>	<i>Hispanic</i>	<i>ties</i>	<i>White</i>	<i>Unknown</i>	<b>TOTAL</b>
<b>Total number of applicants:</b>	<i>Male</i>								
	<i>Female</i>								
	<i>Gender Unknown</i>								
	<i>Total</i>								

**(Note: "Minorities" equals the sum of Groups A, B, C, and E. "TOTAL" equals the sum of Groups "Minorities", F, and U)**

**2. Number of applicants who voluntarily identified themselves as:**

**Disabled:**      
 **Special Disabled Veteran:**      
 **Vietnam Era Veteran:**      
 **Other Veteran:**

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

Names of Finalists	<b>Gender</b>			<b>Ethnicity</b>					
	Male	Fem	Un-known	American Indian	Asian	Black	Hispanic	White	Un-known
A.									
B.									
C.									
D.									
E.									
F.									

**4. If a minority or a woman was included among the finalists and was not selected, please explain why they were deemed not to be the most qualified not:**

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

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

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

**Route in order of approvals**

APPROVALS:

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

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

\_\_\_\_\_  
**Control Point\*** ~~Vice Chancellor for Research~~

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

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

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

**Please attach to this form:**

- 1) Recruitment Plan (form **V-13 AA-100**) ~~with~~ **and** text of ad
- 2) Mailing lists (if any)
- 3) ~~And~~ other relevant recruitment info.

**\*Control point signatures:**

Type of appointment                      signature required  
**Lecturer**                                      **College/Divisional Dean**

**Researcher, Specialist**  
**Project Scientist**                              **Office of Research**

**Postdoctoral Scholar**                      **Graduate Division**

**Academic Coordinator**                      **College/Divisional Dean or Academic Personnel as appropriate**

VI-9  
**PAY & SERVICE PERIODS FOR 2009-10**  
 (Revised 06/08)

**9-MONTH FACULTY TEACHING THE ENTIRE  
 ACADEMIC YEAR (or on leave for any portion)**  
**NOTE: Monthly salary equals 1/12th of annual**

<b>Quarter</b>	<b>Actual Service Period</b>	<b>Pay Period</b>	<b>Checks Issued</b>
Fall	09/19/09 - 12/12/09	07/01/09 - 10/31/09	07/31/09 09/01/09 10/01/09 10/30/09
Winter	01/04/10 - 03/20/10	11/01/09- 02/28/10	12/01/09 01/04/10 02/01/10 03/01/10
Spring	03/29/10 - 06/11/10	03/01/10 - 06/30/10	04/01/10 04/30/10 06/01/10 07/01/10

**9-MONTH TEMPORARY ACADEMICS TEACHING LESS THAN  
 3 FULL QUARTERS AND ALL REGISTERED GRADUATE STUDENTS**  
**NOTE: Monthly salary equals 1/9th of annual**

<b>Quarter</b>	<b>Actual Service Period</b>	<b>Pay Period</b>	<b>Checks Issued</b>
Fall	09/19/09 - 12/12/09	10/01/09 - 12/31/09	10/30/09 12/01/09 01/04/10
Winter	01/04/10 - 03/20/10	01/01/10-03/31/10	02/01/10 03/01/10 04/01/10
Spring	03/29/10 - 06/11/10	04/01/10-06/30/10	04/30/10 06/01/10 07/01/10

NOTE: The pay per quarter is the same in both cases. The monthly checks for persons paid in four rather than three installments per quarter will be smaller, but the total amount paid will be the same. The annual amount is the same -- the amount per month is different.

VI-10  
ADDITIONAL COMPENSATION  
 (Revised 04/08)

General Policies

Reference: APM 660

Additional compensation is any compensation, paid to an academic appointee by the University in excess of their full-time salary. The term "University" includes all campuses within the UC system. The term "additional compensation" refers only to compensation paid through the University payroll system and is not used to refer to compensation for employment outside of the University.

On this campus, additional compensation during the Summer quarter is allowed for academic appointees paid on a 9/12 basis. This is possible because the individual works for the University from September through June, but receives 12 paychecks spread over the year. If they do additional work for the University during the Summer, they can be paid additional money. They will continue to receive their regular pay as well as the additional compensation. All ladder rank faculty, as well as those in the Visiting Professors, Adjunct Professors, and Lecturer SOE series are eligible to earn additional compensation. Non-Senate faculty (Lecturer, Supervisor of Teacher Education, etc.) may also earn additional compensation subject to Article 37 of the Memorandum of Understanding. Additional compensation payments are made at the 1/9th rate up to a **maximum of 3/9ths per summer**. 1/9th may or may not be equal to one month, depending on the type of payment and calculation method used.

Additional compensation during the academic year is allowed only for duties not directly related to the individual's recognized University duties. Examples of this include department chair stipends, Extension teaching, lectures given on other UC campuses and faculty consulting. The following University activities may be sources of additional compensation. (The correct DOS code or form of payment is listed in bold for each type of service).

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

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

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

Charts and PPS codes

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

Along with the charts, it is also necessary to know the dates available for payment of additional compensation during the summer. This is the time period from the day following the last day of final exams in the spring, through the last day before classes start in the fall. The dates represent the maximum allowable days in each month of the summer period. This information will be updated on an annual basis

Dates for 2008 Additional compensation

Dates for 2009 Additional compensation

<u>Month</u>	<u>Number of Days</u>	<u>% time 19900</u>	<u>% time grants</u>	<u>Month</u>	<u>Number of Days</u>	<u>% time 19900</u>	<u>%time grants</u>
June 16-30	11	.5238	.5789	June 15-30	12	.5455	.6316
July 1-31	23	1.0000	1.2105	July 1-31	23	1.0000	1.2105
August 1-31	21	1.0000	1.1053	August 1-31	21	1.0000	1.1053
Sept. 1-19	15	.6818	.7895	Sept. 1-18	14	.6364	.7368

VI-17  
**OTHER ADDITIONAL COMPENSATION**  
(Revised 07/05)

**I. Summer Session teaching**

Reference: APM 661-14

Faculty may receive additional compensation for teaching Summer Session classes. The Summer Session's staff performs the payroll transaction, rather than departments. **NOTE:** These payments count towards the 3/9ths maximum that may be earned during the summer so it is important for the department to keep track of the payments.

Summer session payments are always made at the 6/30 pay rate rather than the 7/1 pay rate. The DOS code **OLS SSC** is used. Payment is allowed during the summer, but not during the academic year. Days used for summer session payments may overlap days used for other types of summer compensation; however, the 3/9ths maximum may not be exceeded.

**II. University Extension and Off-Campus Studies teaching**

Reference: APM 662, appendix B-2

Faculty may also teach courses through University Extension and the Off-Campus Studies program. These payments count towards the 3/9ths maximum that may be earned during the summer if the teaching takes place during the summer months. If a faculty member is earning 3/9ths from other sources during the summer, they may in addition earn compensation from University Extension or Off-Campus Studies equal to one day a week during the period in which additional compensation may be paid. During the academic year, payments are subject to the University limits relating to outside professional activities (Red Binder I-29). The DOS code used is UNX.

**III. Faculty consultant services**

Reference: APM 664

A faculty member may receive additional compensation for consulting on projects conducted under the auspices of the University if the consulting does not fall within the normal duties of the individual. The rate is negotiated, but may not exceed the daily rate when state funds are used, or the daily rate plus 30% if grant funding is used. The additional 30% is in consideration of the fact that no benefits are paid on the salary. If payment is to come from a grant, the grant should first be reviewed to assure that consultant payments are allowed. Payments are allowed during both the academic year and the summer months. During the summer the compensation counts toward the 3/9ths limit.

For academic-year employees the daily rate is figured by dividing the annual salary by 171. For fiscal-year 11-month employees the daily rate is figured by dividing the annual salary by 236.

**IV. Administrative stipends, fellowships or other University awards**

University Fellowships and Awards such as the FCDA and Regents' Jr. Faculty Awards are paid from State Funds, or in some situations from a foundation account. Academic Personnel will provide the account information to departments. When summer additional compensation is paid from State Funds, Chart #2 is used. This Chart is based on actual working days in the month. If July has 23 working days, then 23 days equals 1.0000.

These types of additional compensation may be in terms of 1/9th or may be a flat dollar amount that is to be paid. Payments can be either sub 0 or sub 2 and the DOS code will be **ACM** either **OLN** or **ACF**

(Regents' Jr. Faculty Award). There must be prior notification that the individual has received the fellowship or award, and the method through which the payment will be made.

**V. Department Chair stipends**

Department chairs are paid a monthly stipend with a DOS code of STP on a 11/12 basis at the rate approved by the Executive Vice Chancellor.