

Summary of changes

I-4 Deferrals

The requirements for submission of a request for deferral of review by an Assistant Professor are being clarified.

I-14 New Appointment Deadlines

Adds information concerning applications for Permanent Residency by new faculty appointees.

I-23 Case Preparation for Individuals with Joint Appointments

This is a new section. Currently no written procedures exist related to how departments should prepare and process cases for individuals appointed in multiple departments. The new section attempts to provide guidance about this process.

I-29 Outside Activities approval and reporting

Clarifies approval and reporting requirements for faculty related to conflict of interest and outside activities.

I-49, I-50 Extramural letter wording

New wording is being added for use in situations where an advancement action is being considered for a second time and reviewers from the past review are being asked to update their evaluation.

I-60 Ad hoc committees

Puts into policy CAPs current practice of use of internal ad hoc committees.

I-70 Administrative recall appointments

Approval authority is with the Executive Vice Chancellor

III-9 Research cases

Multiple copies of cases need not be submitted.

III-38 Non-Senate layoff

Change in how laid off individuals are notified of open positions

VI-26 Separations

Expansion of instructions on process for separating academic employees

I-4
ELIGIBILITY, DEFERRAL AND MANDATORY REVIEW
(Revised 04/09 07/09)

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 letter of recommendation from by the Chairperson that explains the reasons for the deferral and describes the process that will be expected prior to the next review.* Review for promotion to tenure will normally take place by the end of the 6th year of service but may be deferred until the 7th year. *The faculty member's deferral request along with the Chairperson's letter of recommendation must be submitted via the on-line case processing system.*

Deferral beyond the 7th year will not be considered. The Formal Appraisal review may not be deferred.

I-14
FACULTY APPOINTMENTS
(Revised ~~09/08~~ 07/09)

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

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

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

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

I. Types Of Appointments

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

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

3. Affiliated faculty status

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

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

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

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

4. Other "Professor" titles

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

II. Appointment Criteria

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

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

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

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

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

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

III. Letter To Prospective Ladder Appointees

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

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

I am happy to inform you that our Department of _____ intends to recommend you for appointment as _____ at a salary of _____, effective July 1, _____. As you know, appointments in the University of California are only made by the Chancellor of the campus after careful review of the

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

IV. AAU Deadlines

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

V. Offer Deadlines

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

VI. Other Deadlines

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

When making an offer to a non-resident alien (i.e. not currently a US Citizen or a Permanent Resident), the department is strongly encouraged to consult with the Office of International Students and Scholars at the time the offer is being considered to be assured that labor certificate processing deadlines are met.

VII. Parallel Processing

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

I-15
DOCUMENTS TO BE SUBMITTED BY THE CHAIR
APPOINTMENTS
(Revised 04/03)

When submitting cases on paper (vs. electronically), submit the original of each document. In addition, two copies of the case must be submitted. Only one set of publications and teaching evaluations need be submitted.

I. Departmental letter of recommendation

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

- Are the start date, rank and step all clearly stated?
- Is the recommended salary on the published salary scale?
- Is the off-scale supplement correct (if applicable), per off-scale general policies (RB I-8)?
- Is the actual vote included (e.g. 10(yes)-0(no)-0(abstentions)-3(not voting))? Is there an indication of how many were eligible to vote?

- Is the letter signed and dated?
- Is the letter an accurate, extensive, and **analytical** representation of the case?
- If the case contains extramural letters, are letter writers identified **only** by coded list, with no identifying statements?
- Are the candidate's qualifications, educational background, and area(s) of specialization all discussed?
- Are all four areas of review covered: teaching, research, professional activity and university and public service?

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

Extramural Letters

- For tenured appointments, are there at least 6 letters, including letters from UC or UC familiar referees?
- For tenured appointments, are at least half of the letters from references chosen by the Chair/Dept independent of the candidate?
- Have all letters been coded, on all copies?
- If the letters were sent via email, is a copy of the email and any attachment included?

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

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

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

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

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

Is the CV up to date?

Is the Academic biography form complete, signed and dated?

IV. **Copies of publications**

Has a representative sampling of publications been submitted?

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

Have all start-up issues been addressed?

VI. **Affirmative Action Summary.** (original only)

Has the "Summary A" form been completed and signed?

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

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

Note: The Procedural Safeguard Statement is not used for new appointments. However, candidates for appointment, once appointed, do have the right to inspect non-confidential documents in their files and to have a redacted copy of the confidential academic review records contained in the personnel review file received pursuant to APM 220-80-i.

Note: *When putting forward a case for a non-resident alien (i.e. not currently a US Citizen or a Permanent Resident), the department is strongly encouraged to consult with the Office of International Students and Scholars at the time the offer is being considered to be assured that labor certificate processing deadlines are met.*

NEW

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

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

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

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

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

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

CONFLICT OF COMMITMENT AND OUTSIDE PROFESSIONAL ACTIVITIES

(Revised ~~04/08~~ 07/08)

General information

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

Faculty members holding the following titles are subject to APM 025 and are required to submit an annual report:

Assistant Professor, Associate Professor, Professor

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

Lecturer SOE, Senior Lecturer SOE

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

A full-time faculty member on a nine-month appointment normally may not engage in compensated outside professional activity for more than 39 days during the academic year. ~~The Chancellor may approve~~ Outside employment in excess of this time limit for an individual faculty member, or a group of faculty, *may be approved* when in the Chancellor's *(or Chancellor's designee's)* opinion the activity benefits the University. *The 39 day limitation does not apply during periods of leave without pay.*

Categories Of Outside Professional Activity

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

Category I activities are likely on their face to raise issues of conflict of commitment. Such activities are **not allowed without prior approval** from the Chancellor or designee, and when approved are subject to the 39-day limit, and must be reported on an annual basis. *Prior approval is required even if the activity will take place during a period of leave without pay.* Category I activities include:

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

Category II activities are unlikely to raise issues of conflict of commitment. They are allowed without prior approval up to the 39-day limit and must be reported on an annual basis. Such activities include:

- Testifying as an expert in administrative, legislative, or judicial hearings;
- Providing consulting services or engaging in professional practice as an individual, single-member professional corporation or sole proprietorship.

- Serving on the board of directors of an outside entity
- Providing workshops for industry
- Other compensated outside professional activity not mentioned in Category I or III that common sense and good judgment indicate are not likely to raise issues of conflict of commitment.

Category III activities are accepted as part of a faculty member's scholarly and creative work. Even if compensated they are allowed, and do not count towards the 39-day limit. Category III activities include:

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

Prior approval and reporting requirements

Request for approval to: (1) engage in Category I activities, (2) ~~to~~ exceed the 39 day limit, or (3) ~~to~~ involve a *graduate* student in outside professional activity must be submitted to the Department Chair by **June 1** for the upcoming academic year. The Prior Approval For Compensated Outside Activities form, (APM-025, appendix B) is to be used for such requests. The Department Chair will review the request within the context of departmental teaching demands, sabbatical leaves, other leaves, etc., and endorse or deny each request. The request will then be forwarded to the appropriate Dean for approval. If the faculty member, Department Chair and Dean agree, the Dean's decision will be final. In cases of disagreement, the Dean will consult with the Associate Vice Chancellor for Academic Personnel to reach a decision. *A copy of the signed form is to be forwarded to the Academic Personnel office.*

Category I exceptions

Exceptions to engage in compensated teaching (with the exception of occasional lectures) or research at another institution while employed as a full time faculty member *are is* not permitted without prior written approval of the Executive Vice Chancellor. *This restriction applies both during periods of paid service and periods of leave without pay. This authority may not be delegated beyond the Executive Vice Chancellor.*

Graduate Student involvement

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

Reporting requirements

All activity that is subject to the 39-day limit as described above must be reported on an annual basis. The annual report period is from July 1st to June 30th of each year. The Report of Category I and II

Compensated Outside Professional Activities form (APM-025, appendix C) is to be used for reporting purposes. This report must be completed *on-line* annually by each faculty member and submitted to the Department Chair by ~~October 31~~ September 15 of the calendar year. Faculty are to sign on to the Academic Personnel web site and use the Outside Activities Reporting link to complete the report. The Chair must review and approve sign each report. The Dean will review and approve sign the report of the Chair. Reports are to be maintained in the department until the next personnel action at which time they will be included with the merit or promotion case. The reports are considered to be non-confidential in nature and are subject to public inspection. APM-025 appendix B and appendix C are available at <http://www.ucop.edu/acadadv/acadpers/apm/apm-025-07-01.pdf>

I-49
**SAMPLE LETTER FOR SOLICITATION
OF EXTRAMURAL EVALUATION**
(Revised 04/08 07/09)

Current Date

Name
Department
University

Dear Dr. _____,

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

INSERT APPROPRIATE PARAGRAPH FROM SAMPLES THAT FOLLOW:

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

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

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

Sincerely,

Department Chair

WORDING FOR SOLICITATION LETTERS BY PROPOSED ACTION

(Revised 01/09)

A. Appointment to Assistant Professor

_____ is being considered for an appointment as an Assistant Professor in the Department of _____. Appointment to Assistant Professor within the UC system is made in the expectation that the appointee will meet standards for a tenure appointment by the time a promotion decision is due. Recommendations for faculty appointments at this level must indicate clear evidence of potential excellence in both teaching and research. [Sample wording for evaluation request: e.g., I would greatly appreciate your evaluation of _____'s work.]

B. Appointment or Promotion to Associate Professor

_____ is being considered for (an appointment as/ promotion to) Associate Professor in the Department of _____. Appointment (or promotion) to Associate Professor within the UC system includes tenure. The record of performance in (a) teaching, (b) research or other creative work, (c) professional activity, and (d) University and public service is carefully assessed. Reasonable flexibility is used in making personnel judgments, but flexibility does not entail the relaxation of high standards. Superior intellectual attainment, as evidenced both in teaching and in research or other creative achievement, is an indispensable qualification for appointment (promotion) to tenure positions. [Sample wording for evaluation request: e.g., I would greatly appreciate your evaluation of _____'s work.] [For promotion only, add] In addition, please indicate if you feel that the candidate would be promoted at your university.

C. Appointment to Professor I-V

_____ is being considered for an appointment as Professor in the Department of _____. The ranks of Associate Professor and Professor within the UC system are tenured. The record of performance in (a) teaching, (b) research or other creative work, (c) professional activity, and (d) University and public service is carefully assessed. A candidate for the rank of Professor is expected to have an accomplished record of research that is judged to be excellent by his or her peers within the larger discipline or field. Reasonable flexibility is used in making personnel judgments, but flexibility does not entail the relaxation of high standards. Superior intellectual attainment, as evidenced both in teaching and in research or other creative achievement, is an indispensable qualification for appointment to a Professor rank position. [Sample wording for evaluation request: e.g., I would greatly appreciate your evaluation of _____'s work.]

D. Promotion to Professor

_____ is being considered for promotion to Professor in the Department of _____. Individuals under consideration for this rank have attained tenure at the Associate Professor rank. The record of performance in (a) teaching, (b) research or other creative work, (c) professional activity, and (d) University and public service is carefully assessed. A candidate for promotion to the rank of Professor is expected to have an accomplished record of research that is judged to be excellent by his or her peers within the larger discipline or field. Reasonable flexibility is used in making personnel judgments, but flexibility does not entail the relaxation of high standards. Superior intellectual attainment, as evidenced both in teaching and in research or other creative achievement, is an indispensable qualification for promotion to a Professor rank position. [Sample wording for evaluation request: e.g., I would greatly appreciate your evaluation of _____'s work.] [For promotion only, add] In addition, please indicate if you feel that the candidate would be promoted at your university.

E. Appointment at Professor VI- IX

_____ is being considered for an appointment as Professor [specify step] in the Department of _____. In the University of California, there are nine steps within the rank of Professor. The normal period of service is three years in each of the first five steps. Service at Professor, Step V, may be of indefinite duration. Appointment to Step VI, or higher, calls for evidence of highly distinguished scholarship, highly meritorious service, and evidence of excellent University teaching. In addition, great distinction, recognized nationally or internationally, in scholarly or creative achievement or in teaching is required for appointment at this step. [Sample wording for evaluation request: e.g., I would greatly appreciate your evaluation of _____'s work.]

F. Merit to Professor VI

_____ is being considered for advancement to Professor [specify step] in the Department of _____. In the University of California, there are nine steps within the rank of Professor. The normal period of service is three years in each of the first five steps. Service at Professor, Step V, may be of indefinite duration. Advancement to Step VI, or higher, involves an evaluation of the candidate's entire career and calls for evidence of sustained and continuing excellence in each of the following three categories: (1) scholarship or creative achievement, (2) University teaching, and (3) service. In addition, great distinction, recognized nationally or internationally, in scholarly or creative achievement or in teaching is required for advancement to this step. [Sample wording for evaluation request: e.g., I would greatly appreciate your evaluation of _____'s work.]

G. Appointment or Merit to Professor Above Scale

_____ is being considered for (an appointment as/ advancement to) Professor Above Scale in the Department of _____. In the University of California, there are nine steps within the rank of Professor (steps I-IX). Steps VI, VII, VIII, and IX are reserved for highly distinguished scholars. *There is one further rank beyond Step IX; Above Scale.* Above Scale is the highest rank attainable by a faculty member in the University of California system. (Appointment/advancement) to an Above Scale salary is reserved for the most highly distinguished faculty (1) whose work of sustained and continued excellence has attained national and international recognition, (2) whose teaching performance is excellent, and (3) whose service is highly meritorious. [Sample wording for evaluation request: e.g., I would greatly appreciate your evaluation of _____'s work.]

H. Sample Thank You Letter for Unsolicited Comments

Use the sample letter, modifying the opening remarks and final paragraph as follows:

[Opening remarks: e.g., Thank you for sending us your letter of recommendation regarding _____ who is currently under consideration for an appointment in our department. I would like to inform you that

[Confidentiality paragraph]

I would appreciate if you would inform me whether, in light of our policies, we may proceed with the use of your letter in the personnel file or if you wish it to be destroyed. If you do not respond by _____ the materials will be maintained in our files.

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

Use the sample letter, modifying the opening remarks and final paragraph as follows:

We have received your letter of evaluation regarding _____ who is currently under consideration for an appointment in our department. This letter was received as part of a placement file from _____ which states that this material (not be made part of the individual personnel file/be returned to you after we have completed our use of it/be destroyed after we have completed our use of it/etc.) I am writing to inform you that we are unable to accept and use the material you sent with the constraint on its use that you have stated, and to explain why we are unable to do so.

Under University of California policy, evaluatory material about an individual who is (appointed to an academic position/being considered for promotion) becomes part of the individual's permanent personnel record. (In addition, we are required under applicable legal standards to retain in our files for at least two years documentary material that we have considered on all applicants for a position that has been filled.)

[Confidentiality paragraph here]

I would appreciate if you would inform me whether, in light of our policies, we may proceed to use the material from the placement file, or whether you wish us to destroy the materials without using them in the file. If you do not respond by _____ the materials will be maintained in our files.

J. Appointment to Lecturer PSOE

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

K. Appointment or promotion to Lecturer SOE

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

L. Appointment or promotion to Sr. Lecturer SOE

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

M. Continuing Lecturer Excellence review

_____ is being considered for review to be appointed as Lecturer, Continuing Appointment in the Department of _____. Appointment beyond six years as a Lecturer within the UC system includes the right to a Continuing Appointment so long as the University determines that the instructional need exists and that the instructional performance of the lecturer is excellent. The record of performance in teaching is carefully assessed and the standard of excellence is an indispensable qualification for appointment beyond six years.

N. Continuing Lecturer promotion to Sr. Lecturer

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

O. To Letter Writers from a Prior Review for Amendment or New Letter

Last year you were kind enough to provide an evaluation of Professor _____'s work in consideration of advancement to _____. We appreciate your time and attention in preparing that letter. For institutional reasons, [we did not pursue the case at that time] or [further consideration of this proposed action is currently taking place]. Your earlier evaluation is now part of the official record (copy enclosed). I write to inform you that you may, if you wish, at this time add further comments or an update to be included in the record. We certainly encourage you to do so. We are enclosing Professor _____'s current vita and publications to assist in your update.

I-60
AD HOC REVIEW COMMITTEES
(Revised 09/03)

I. General

Ad hoc review committees are required for the following reviews:

- 1) recommendation for termination
- 2) appointment or promotion to tenure or security of employment
- 3) ~~advancement to Above Scale~~

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

II. Make-up of Ad Hoc Review Committees

Ad hoc review committees are made up of three members plus a non-voting departmental representative. Under special circumstances, the Chairperson of a department may serve as departmental representative. In cases of advancement to Above Scale, a departmental representative is not normally appointed to the committee.

When an ad hoc review committee is considering its recommendation, the department representative will participate in the discussions to some reasonable point before the conclusion of the discussion and the vote. A departmental representative will be provided an adequate opportunity to present any and all relevant information that he or she wishes or is requested to provide, but he or she will not contribute to, or see the letter of the ad hoc review committee.

Each year, the Committee on Academic Personnel nominates Assistant Professors, at Step III and above, to serve as observers on ad hoc committees that review promotion to tenure cases. The aim is in part to acquaint them with the review process and in part to open that process to observation and comment from a wider spectrum of viewpoints than would otherwise be the case. The observer has the full privilege of participating as a committee member, with the sole exception that the observer does not vote on the recommendation adopted by the committee. (The committee's letter, like the candidate's file, is open to the observer.)

III. Appointment of Ad Hoc Review Committees

Faculty members are nominated by the Committee on Academic Personnel to serve on ad hoc review committees. At the time a case involving a mandatory ad hoc committee is submitted, the Department Chair should also forward a Chair's Recommendation for Department Representative memo, listing a maximum of three names of potential departmental faculty members for service as departmental representative on the ad hoc committee. (In small departments there may not be as many as three eligible faculty members to serve as departmental representative.) This recommendation is to be forwarded directly to the Associate Vice Chancellor of Academic Personnel and marked "Confidential." (See section VII, below). The Department Chair must not disclose to the candidate or to other faculty in the department the names included in the recommendation.

The Department Chair should select faculty members who: (1) participated in the departmental review and voted on the case; (2) have familiarity with the research area of the candidate; and (3) will be in

residence during the quarter the case is likely to be considered. Possible suggestions for ad hoc committee service may include faculty members who were centrally involved in the preparation and/or presentation of the candidate's case to the department. In all cases, the Department Chair should provide a slate of nominees who will be as objective as possible.

The recommendation by the Chair of a particular faculty member, or members, does not in any way limit the ability of the Committee on Academic Personnel to nominate other eligible faculty members from the department to serve as departmental representative. Committees are appointed by the Associate Vice Chancellor for Academic Personnel. The committee is informed that its membership, deliberations and decision are strictly confidential, as is the name of the candidate. In accordance with APM 160, the candidate is entitled to receive a redacted copy of the ad hoc review committee's report, without disclosure of the identity of review committee members.

IV. Candidate Request Concerning Ad Hoc Membership

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

- (a) that two members of his or her department representing majority and minority opinion in his or her case be appointed to the review committee.
- (b) that a member of the review committee be appointed from outside UCSB
- (c) that a limited number of specific faculty members from his or her department not be appointed to the ad hoc committee to review his or her case. In no case may more than 20% of the department faculty eligible for service on the particular review committee be excluded, except that one person may be named no matter how small the department.

V. Department Representative

The designated departmental representative should decline to serve:

- 1) If he/she has not participated in the departmental review of the candidate, or
- 2) If he/she voted with a minority of faculty members regarding the merits of the case or would, on other grounds, find it difficult to represent the department's position.

VI. Ad Hoc Committee Reports

The Chairperson of the ad hoc review committee is encouraged to write the committee report immediately after the meeting takes place. In any event, the Chairperson's draft report is due in the Academic Senate office within 48 hours of the ad hoc committee meeting. If circumstances prevent meeting this deadline, it is appreciated if the Chairperson notified the Senate Secretariat of the anticipated delay.

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

VII. Sample Chair's Recommendation for Departmental Representative memo

To: Associate Vice Chancellor, Academic Personnel

From: Department Chair, Department

Re: Departmental Representative Nominations for the Case of (faculty member)

I suggest the following faculty members for service as departmental representative in the (promotion to tenure or tenured appointment) case of (faculty member):

- 1)
- 2)
- 3)

I-70
PROCEDURE FOR RECALL OF PROFESSOR EMERITUS
(Revised 09/08 07/09)

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

Requests for all appointments must include a department letter -- indicating annual salary, percent time, current year cost, brief discussion of duties, and an updated UCSB Academic Biography form if there have been changes since the last appointment.

I. Teaching appointments

The appropriate annual salary for the recall appointment is the annual rate at the time of retirement, or the current on-scale salary for the step attained at the time of retirement, whichever is greater. In general, the recall rate will be 1/9th of the base salary at the time of retirement per course. However, higher or lower rates may be negotiated as appropriate. The maximum allowed will be the equivalent of 1/9th of the current Professor VII rate. A Professor Emeritus may be recalled as a Professor Recall to teach one quarter or more. If recalled for only one quarter, the appointment should be on a 9/9 basis. If the appointment is for one full year it may be made on a 9/12 basis.

II. Research appointments

A Professor Emeritus who is recalled to serve in an extramurally funded research capacity may be appointed as a Research Professor. These are normally year-to year appointments. Appointments may also be made for shorter periods of time. The terms and conditions of employment for a faculty member who is recalled for research parallel those of a faculty member who is recalled to teach. However, those holding the Research Professor title will have the right to direct Masters and Ph.D. theses without the need to petition the Graduate Council for permission. In the event that a Professor is recalled both to teach and for extramurally funded research, either the Research Professor title or the Professorial Recall title may be used. Requests for appointment as Research Professor may be sent directly from the employing unit to Academic Personnel. Paid appointments as Research Professor are made on an 11/12 rate. The appropriate annual rate at the time of retirement, or the current on-scale salary for the step attained at the time of retirement, whichever is greater, converted to an 11/12 basis (multiply the current 9/12 rate x 1.16).

III. Administrative appointments

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

IV. Approval authority

<u>Title</u>	<u>Title Code</u>	<u>Approval Authority</u>
Professor Emeriti	1132	
Prof Recall	1106, 1146 (Engineering)	Dean
Assoc Prof Recall	1206, 1246 (Engineering)	Dean

Lecturer SOE Emeriti	1620	
Sr. Lecturer SOE Emeriti	1621	
Lecturer SOE Recall	1665, 1666 (1/9 th)	Dean
Sr. Lecturer SOE Recall	1660, 1662 (1/9 th)	Dean
Research Professor	1707	Academic Personnel

III-9
DOCUMENTS TO BE SUBMITTED BY THE CHAIR
RESEARCH REVIEWS

(Revised 07/05 07/09)

Submit the original ~~and one copy~~ of each document ~~and~~ **Only** one set of publications ~~need be submitted~~.

I. **Research Title Review Form** (see Red Binder III-4)

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

II. **Departmental letter of recommendation**

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

For All Cases:

- Is the letter signed and dated?
- Is the letter an accurate, extensive, and **analytical** representation of the case?
- Are all areas of review covered: research; professional activity; and, university and public service as appropriate?
- If there is a recommendation for an acceleration, are the reasons for the acceleration specifically stated?
- In the case of a negative departmental recommendation, is the basis of the recommendation clearly documented?

For Career Reviews:

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

III. **Chair's Separate Confidential Letter (optional)**

See Red Binder I-35 for further information.

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

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

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

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

- V. **Bio-bibliographical Update**, following format in Red Binder I-28 (excluding teaching section).
- Is it in the proper format?
 - Is the Research section a **cumulative** list of publications (or creative activities) with a line drawn separating all new items from where the bio-bib from the last review case had ended?
 - Are the numbers the same as in the previously submitted bio-bib, and have items previously listed as "In Press", "Submitted" been accounted for?
 - Are all items, including "In Press", "Submitted", and "In Progress" properly numbered?
 - Are publications identified as "refereed" when appropriate?
 - If sections other than Research are cumulative, are lines drawn showing what is new since the last successful review?

- VI. **Extramural letters of evaluation** and list of evaluators in career reviews (promotion to the Associate and full level as appropriate, advancement to Researcher Step VI or Above Scale). (Red Binder I-49, III-12, III-14, III-16)

Extramural Letters

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

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

- Was the proper wording used in the letter (RB I-49 to I-50, III-12, III-14, III-16)?
- Is a list of all informational items sent to referees (e.g. CV, bio-bib, publications sent, etc, per RB I-46-VI) included? Is a copy of each item included as either part of the case or a one-of-a-kind item?
- If different versions of the letters or materials went out, is a sample of each included?

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

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

- VII. **Copies of publications.**

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

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

III-38
POLICY AND PROCEDURES ON LAYOFF AND INVOLUNTARY REDUCTION
IN TIME FOR NON-SENATE ACADEMIC APPOINTEES

(Revised 01/08)

I. Related Policies

APM 145 Layoffs-Non-Senate Academic Appointees
APM 140 Appeals-Non-Senate Academic Appointees

II. Background

It is University policy to provide equitable and consistent treatment for academic appointees, both full-time and part-time, in the event their appointments must be terminated due to lack of work, lack of funds or discontinuance of a program or there is an involuntary reduction in percent of time.

III. A. Application of Layoff and Involuntary Reduction in Time.

The provisions of this section are applicable to all academic appointees (see Supplement I and II) of the University of California, Santa Barbara, other than:

1. Members of the Academic Senate;
2. Those appointees with an appointment with a specified ending date. The change of an ending date by the University to an earlier date constitutes a LAYOFF;
3. Student Academic Appointees;
4. Those represented by an exclusive representative (Union).

B. Determination of Layoff and Involuntary Reduction in Time.

Department Chairs or Heads of Organized Research Units, Programs and Divisions (hereafter referred to as Chairs) are responsible for determining the need for, the order of and to coordinate layoffs and involuntary reductions in time with the appropriate Deans, Directors and the Associate Vice Chancellor for Academic Personnel.

The Academic Personnel Office will not process forms to implement either action if they do not conform to University and campus policies and procedures.

C. Order of Layoff and Involuntary Reduction in the Percent of time will normally be determined on the basis of:

1. Exceptional skill, knowledge or ability that is essential to the operation of the department or unit, as determined by the Chair.
2. When there is no substantial difference in degree of special skills, knowledge, or ability essential to the department or unit, the order of layoff or involuntary reduction in time shall be in inverse order of seniority.

Seniority shall be established on the basis of the number of months of full-time equivalent service with the University.

IV. Procedures

- A. Upon determining the need for a layoff, or an involuntary reduction in time, and the order in which it is to be accomplished, the Chair will submit a recommendation (Exhibit A), to the

Associate Vice Chancellor for Academic Personnel via the appropriate Dean or Director. The recommendation shall be submitted in duplicate using the form provided and shall include the following:

1. Name of appointee to be laid off or reduced in time; appointee's rank, step, and months of service.
 2. Statement of the specific conditions that make the action necessary, i.e., an explanation of why there is a lack of work, lack of funds, or discontinuance of a program.
 3. Names of other appointees in the department within the same category of employment (e.g. Professional Research series, Specialists, etc.) with their title, rank, step, months of service, and area of expertise.
 4. Justification of the order of layoff or involuntary reduction in time. (Note: the appointee may request a written summary of the reasons for the order of layoff or involuntary reduction in time.)
 5. A copy of the written notification the Chair proposes to send to the appointee, which shall include:
 - a. the reason for the action,
 - b. the effective date,
 - c. how earned vacation will be handled,
 - d. advice to the appointee to contact the campus Benefits Office for information concerning benefits.
 6. The Chair's signature is certification that he/she has investigated all facts in the case and determined that there is no alternative to the proposed action.
- B. The Dean or Director shall review the proposal and, if satisfied that the proposed action is unavoidable and the selection of the appointee was made in accordance with policies and procedures, will sign the original and duplicate copy of the proposal and forward them to the Associate Vice Chancellor for Academic Personnel.
- C. The Office of the Associate Vice Chancellor for Academic Personnel shall:
1. Coordinate with the Director, Equal Opportunity to assure that the action is taken without regard to race, color, religion, marital status, national origin, sex, physical or mental handicap, or within the limits imposed by law or University regulations, because of age or citizenship. The Director, Equal Opportunity will inform the Associate Vice Chancellor for Academic Personnel if recruitment is on file for a position the candidate for layoff may be qualified to fill.
 2. Review for compliance with University policies and procedures. The Associate Vice Chancellor for Academic Personnel or designate, shall notify the Chair in writing of the final decision. The thirty (30) day notice period begins on the date the Chair is notified of the Associate Vice Chancellor's approval.
- D. If the layoff or involuntary reduction in time is approved, the Chair will inform the individual in writing and forward a copy of the notification letter to the Academic Personnel Office.
- E. Written notice

Except for Continuing Education Specialists (APM 340-20-e), written notice of layoff or involuntary reduction in time must be given to an appointee covered by this policy at least thirty

days in advance of the effective date. It is recommended that the appointee be given as much additional notice as possible. Appropriate pay in lieu of notice may be given.

F. Layoff Status.

An individual in layoff status is given preferential consideration for reemployment during the 12 month period immediately following the date of layoff. Layoff status as used in this Section and section G. includes involuntary reductions in time.

1. Vacancies occurring in the same administrative unit and title series from which the individual has been laid off shall be filled by persons in layoff status, provided a qualified person is available.

Preference for re-employment shall be granted to:

- a. Appointees on layoff status;
 - b. Appointees whose time has been involuntarily reduced; or
 - c. Appointees who have received written notice of layoff or involuntary reduction in time within the six months prior to implementation of layoff or involuntary reduction in time.
2. If two or more qualified persons are in layoff status from the same unit, the individual who was laid off last should be the first to be rehired.
 3. Subject to approval by the Associate Vice Chancellor for Academic Personnel, a position which requires special skills, knowledge or abilities may be filled by an individual who possesses the required skills but is not in layoff status even if an individual in layoff status, but who does not possess the skills, knowledge and abilities, is also an applicant for the position.
 4. The Office of the Associate Vice Chancellor for Academic Personnel shall maintain a roster of all persons in layoff status. The individual's name shall be listed on the roster for twelve months. The Associate Vice Chancellor for Academic Personnel will notify persons on the list *of the Academic Employment Opportunities Bulletin in order to make individuals aware* of open positions they may be qualified to fill.
 5. When a person is reemployed after a period of layoff not exceeding 12 months, the periods before and after layoff shall be considered as continuous or uninterrupted service for the limited purpose of applying University policies regarding seniority, sick leave, vacation, holidays, other leaves, reduced fees, and salary advancement by merit increases or promotion. However, benefits and credits for service, including those related to any retirement system, do not accrue during periods of layoff status.
 6. It is the responsibility of the individual on layoff status to keep the Associate Vice Chancellor for Academic Personnel informed of his/her current address.
 7. Layoff status may be less than one year, if appointment would have normally expired for those appointments with specified ending date, or reappointment occurs within the campus to the same or equivalent position.

G. Reemployment

A hiring unit may reemploy a person in layoff status by inputting the information to the payroll system. The hiring unit is not required to conduct an open search for the position.

H. Appeals

Layoff decisions may be appealed in accordance with policies and procedures set forth in APM 140 and Regents' Standing Order 103.9.

EXHIBIT A

LAYOFF AND INVOLUNTARY REDUCTION IN TIME

IT IS PROPOSED THAT THE INDIVIDUAL NAMED BELOW BE
LAID OFF OR REDUCED IN TIME FOR THE FOLLOWING REASON:

Lack of work _____

Lack of funds _____

NAME _____

TITLE _____

STEP _____

MONTHS OF SERVICE _____

ADMINISTRATIVE UNIT _____

FUNDING SOURCE(S) _____

Name

Account number

EFFECTIVE DATE OF ACTION _____

REASONS: _____

Attach copy of updated Bio-bibliography of C.V.

Provide the requested information concerning all other appointees in the unit who hold appointment in the same title:

Name _____

Rank _____

Step _____

Months of Service _____

Reason not selected: _____

(Use additional pages to complete this section. Include names of others who hold appointment in the same title.)

I certify that the above information is correct.

Principal Investigator

Date

Department Chair/Unit Head

Date

Dean/Director

Date

APPROVED:

Director,
Equal Opportunity

Date

Vice Chancellor for Academic Personnel Date

ACADEMIC APPOINTEES NON-SENATE MEMBERS
(FACULTY)

Adjunct Series

Assistant Adjunct Professor
Associate Adjunct Professor
Adjunct Professor

Visiting Titles

Visiting Assistant Professor
Visiting Associate Professor
Visiting Professor

*Lecturer

*Lecturer. Potential Security of Employment (PSOE) less than 100%
*Supervisor of Teacher Education

ACADEMIC APPOINTEES NON-SENATE MEMBERS
(NON-FACULTY)

*Librarian Series

Assistant Librarian
Associate Librarian
Librarian
Assistant University Librarian
Associate University Librarian
Visiting Assistant Librarian
Visiting Associate Librarian
Visiting Librarian

Miscellaneous Titles

Tutor
Academic Coordinator
Academic Administrator

UNEX Titles

Continuing Education Specialist
Continuing Educator
Program Coordinator

Postgraduate Research

Visiting Postgraduate Research

Professional Research Series

Assistant Research
Associate Research
Research
Visiting Assistant Research
Visiting Associate Research
Visiting Research

Specialist Series

Junior Specialist
Assistant Specialist
Associate Specialist
Specialist

*If represented by a Union, see applicable MOU for Lay-Off, etc. provisions.

SEPARATIONS

(Revised 10/97 07/09)

Resignation or Retirement**Senate Faculty**

A faculty member may only resign or retire as of the end of an academic quarter (pay end date of October 31, February 28 or June 30). Faculty should strive to notify the department as far in advance as possible of the separation. It is preferable that the notification be done in writing, with the department providing a copy to the appropriate Dean's office and to Academic Personnel.

In cases of resignation, the separation information should be entered into the payroll system. In cases of retirement of an Associate or full Professor, the faculty member attains emeriti status immediately upon retirement. The separation and rehire into emeriti status should be completed following the instructions in the Frequently Asked Questions, Payroll Personnel System on the Academic Personnel website at <http://ap.ucsb.edu/>.

All other academic employees

Academic year employees may only resign or retire as of the end of an academic quarter, using the appropriate pay period end dates dependent on the employee's 9/9 or 9/12 status. Fiscal year employees may resign or retire at any time. The separation should be entered into the payroll system even if the appointment had a self terminating end date.

NOTIFICATION OF Death

When a current **academic employee** or emeritus faculty member dies, the department should notify the appropriate offices in a timely manner following the procedures below. This insures proper dispersal of benefits to survivors and it enables agencies to keep their records up-to-date. It also allows the Chancellor to publicly recognize the individual's service to the campus, and in memory of service, the campus flag will be lowered.

Procedures:

1. Notify the Chancellor, Associate Vice Chancellor for Academic Personnel and the Vice Chancellor for Administrative Services and supply a brief biography which includes:
 - a. ~~Correct~~ **Full** name, title, and department
 - b. Date of birth
 - c. Date of death
 - d. Name and address of next of kin
 - e. Length of service to the university
2. Notify the Benefits and Compensation Manager (ext. 2489).
3. Enter the **separation information** into the payroll system.