

Summary of changes

I-10 Reconsideration

Clarifies that reconsideration cases undergo the same review process as the original case.

I-17 New Ladder Faculty Commitments

Inclusion of information about North Campus Point wait list.

I-18 Sample Start-Up Costs Memo

OISS Permanent Residency service fees may be included in start-up funding.

I-25, I-26 Procedural Safeguard Statement and instructions

Reflects process change of safeguard being completed on-line.

I-28 Bio-Bibliography Updates

Change of wording under Part II, Teaching; Undergraduate Projects Directed

I-30, I-45 Routine merits

Clarification of decelerated merits as routine if a one step, otherwise routine increase

I-33, I-45 Non-Routine merits

Clarification of reduction in off-scale supplement as non-routine.

I-35 Access to Chair's confidential letter

Department Chair's confidential letter is considered a "reviewing agency report" and provided to the candidate at the end of the review, by Academic Personnel.

I-49, I-50 Sample Solicitation letter

Modification of format of sample solicitation letters

II-10 Continuing Lecturer reviews

Lecturer case reconsiderations are subject to RB I-10

II-28 Visiting Professor

Inclusion of APM changes related to Visiting Assistant Professor appointments in Mathematics and similar disciplines.

III-3 Temporary Academic Appointment Form Letter

Removes references to grandfathered Postdocs and Postgraduate Researchers. Titles no longer in use.

IV-3, IV-10 Graduate student employees

Clarification that titles are only available for use by registered UC graduate students

VI-15 Intercampus payments

Change in limits for one-time honorarium payments based on Office of the President policy.

VII-11 Employment of near relatives

Reference to APM 520-4 for definition of "near relative"

I-10
RECONSIDERATION
(Revised 06/04)

After a decision has been announced in a personnel case, the departmental Chairperson may request a reconsideration of the decision. This course of action is appropriate only when there is new documentation relating to accomplishments already in place prior to the deadline for submission of materials (Red Binder I-2), or when there is evidence that the decision was not based on a reasonable evaluation of the materials submitted with the case. Evidence for the latter ground for reconsideration is most often provided by the candidate, based on the copy of non-confidential documents and the redacted copy of the confidential academic review records contained in the personnel review file received pursuant to APM 220-80-i. Chairpersons should avoid "routine" or "automatic" resubmission of requests for reconsideration. On the other hand, when a compelling argument for reversal of the original decision can be documented, the Chairperson should carefully present the evidence for reconsideration. Reconsideration of a case must be requested prior to the submission of any subsequent personnel case.

Departmental practices are variable on the degree of consultation with the voting faculty necessary in a case for reconsideration. While a new vote on a case for reconsideration is desirable, it is not required. However, the voting faculty must be consulted, and the form of this consultation, as well as the comments expressed by voting faculty, are to be reported in the Chairperson's letter. The candidate has the same rights of access as in the original case. The Chair should ensure that any additional letter writers or faculty members expressing comments are not identified in the departmental letter except by means of a coded list appended to the departmental letter. *The reconsideration case will undergo the same review process as the original case, with the provision that no ad hoc committee review will take place during the reconsideration process.*

Note: For guidelines concerning reconsideration of a terminal year appointment see Red Binder I-39.

I-17
NEW LADDER FACULTY COMMITMENTS
(Revised 01/09)

A "start-up memo" addressing the equipment, space, housing and other start-up needs should be forwarded with the appointment packet. Note that one memo may be written to cover all of these issues. The New Ladder Faculty Commitment Sheet will be prepared and endorsed by the Dean and then forwarded to the Associate Vice Chancellor.

At the time the Chancellor extends an offer of appointment to the candidate, a copy of the approved Commitment Sheet will be forwarded to the Dean indicating what recruitment commitments have been approved.

Please note: Revisions in recruitment commitments require the same approval as the original commitment. Requests for revisions should be made in memo form to the appropriate Dean's office. A revised commitment sheet will be issued by the Academic Personnel office as approval or denial of the request.

Housing

Mortgage Origination Program (MOP) loan commitments are made available for approximately a two-year period from the date of appointment. Extension beyond the expiration date may be possible on a year by year basis dependent of financial conditions at the time of the extension request. The actual amount of the loan (up to the maximum specified by Office of the President) will be based on the individual qualification of the faculty member.

An offer may be extended for placement on the *wait lists for University owned housing*, West Campus Point and North Campus Point, ~~housing wait list~~ based on College housing allocations. Ladder faculty and Lecturers in the Security of Employment series are eligible for *University owned* ~~West Campus Point~~ housing.

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

Relocation allowance

The Faculty Recruitment Allowance (commonly known as a Relocation Allowance or Housing Allowance), is made available to help newly recruited faculty meet the costs associated with purchasing a home, usually the down payment or closing costs. It may also be used towards the initial deposit necessary for a rental. The maximum allowable allocation is based on the rate on Table 44 of the published Salary Scale at the time of hire. Incoming faculty should be advised of the following to avoid unrealistic expectations about how and when they can get the money.

Faculty cannot get their relocation allowance until they are employees and have been entered into the payroll system. For example, if the hire date is July 1, funds may not be paid out until the first scheduled pay date in July. Exceptions to this policy can not be made and the appointment start date can not be modified to accommodate payment. The relocation allowance is to be paid out as close as possible to the time it will be used (for example, upon entry into escrow), not at the time of initial employment. *A Department or College may require proof of entry into escrow or other appropriate documentation prior to payment of the relocation allowance.*

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

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

I-18
SAMPLE START-UP COSTS MEMO
(Revised 01/06)

TO: Associate Vice Chancellor
for Academic Personnel

VIA: Dean

FROM: _____, Chair
Department of _____

RE: Start-up package for _____

In connection with the appointment of _____, the Department of _____ requests the following:

- 1) Equipment
- 2) Space needs
- 3) Summer salary
- 4) Removal funds
- 5) Relocation allowance
- 6) Housing needs
- 7) Research/travel funds/*OISS Permanent Residency service fees*

[These are possible categories for start-up costs, to be requested as needed]

I-25
PROCEDURAL SAFEGUARD STATEMENT
INSTRUCTIONS TO THE CHAIR
(Revised 01/08)

The Procedural Safeguard Statement has been designed to follow the actual steps taken when a candidate is being considered for a personnel action. It is important for the Department Chairperson, as well as for the candidate, to note how each step leads to the forwarding of a recommendation to the administration. For example, the difference between Number 9 and Number 12 on the Safeguard Statement is a matter of timing. Number 9 occurs before the department meets and votes on the case. Therefore, written comments by the candidate under Number 9 would refer to materials on which the case is based and would be routinely considered by the department before the vote is taken. Written comments submitted by the candidate under Number 12 would refer to the recommendation after the department review and could be supplied to the Chair or sent directly to the Dean, who normally will ask the Department Chair for comment.

It is advisable for the Chair to provide a copy of the Procedural Safeguard Statement to a faculty member prior to the initiation of a personnel review, so that the faculty member is apprised of the steps and safeguards built into the process. The sample Safeguard Statement (Red Binder I-26) may be used for this purpose. The candidate should also be informed that signing the Safeguard Statement does not imply concurrence with the departmental recommendation. It only provides a record of the procedures that were followed in the review of the case. There is a place for candidates to record any exceptions or comments.

For individuals holding joint appointments, a separate Safeguard must be completed for each department. In the rare case that a department, based on their stated voting procedures, defers to the majority percentage department, a Safeguard Statement will be required for the majority percentage department.

~~In most cases individuals with joint appointments should sign a separate safeguard statement to accompany each departmental recommendation. In some situations it may be appropriate for only one safeguard statement to be submitted. In these cases the safeguard statement must clearly indicate both departments next to the candidate's signature and should be signed only when the review has been completed in both departments.~~

The Procedural Safeguard Statement is to be completed by the faculty member on-line, via the Academic Personnel web site and must be signed by the candidate, must be forwarded as part of the departmental personnel case recommendation for personnel actions per Section 220-80-c of the Academic Personnel Manual (APM). If in the case of a mandatory review it is 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.

In addition, if any of the following documents have been supplied to the candidate or by the candidate, they must be included in the personnel case accompany the departmental recommendation when forwarded to the administration:

1. Redaction of confidential documents in the file (7A).
2. Candidate's written statement commenting on material in the file (9).
3. Candidate's written comments regarding the departmental recommendation (12).

LADDER RANK FACULTY ADVANCEMENT: PROCEDURAL SAFEGUARD STATEMENT

Informational only- all safeguards are to be completed on line

(Revised 01/06)

PRIOR TO DEPARTMENTAL REVIEW:

1. I was informed that I was to be reviewed for this personnel action and of the process as described in APM 160, 210-1 and 220, and was informed of relevant deadlines for submission of materials
2. I had the opportunity to ask questions, supply information and evidence, and add material to my file in preparation for the review.
3. I was informed whether or not letters of evaluation were to be sought as part of this personnel action.
4. If letters were sought (e.g., for promotion, review for advancement to Professor VI or Professor Above Scale)
 - A. I had an opportunity to suggest names of evaluators; and
 - B. I had the opportunity to submit, in writing, names of persons who, for reasons set forth by me, might not provide objective evaluations.
5. If an Academic Senate ad hoc committee is to be appointed, I was advised of my right to utilize any of the three options listed in Red Binder I-60. NOTE: If these options are utilized, they must be put in writing by the candidate and forwarded directly to the Vice Chancellor for Academic Personnel.
6. I was informed whether or not there were confidential documents in my department review file and of my right to review a summary of any such documents.
7. I was provided the contents of the confidential documents (i.e. external letters, minority opinion reports) , if any, in my file by means of:

<input type="checkbox"/> A. Redacted copy	<input type="checkbox"/> C. Chose not to receive contents
<input type="checkbox"/> B. Oral Summary	<input type="checkbox"/> D. No confidential documents
8. I had the opportunity to inspect all non-confidential documents in the review file.
9. I had the opportunity to provide a written statement in response to or comment upon all materials in the file.

FOLLOWING THE DEPARTMENTAL REVIEW PROCESS:

10. I was informed of the departmental recommendation and the substance of the evaluation under each of the applicable review criteria.

<input type="checkbox"/>	A. Copy of Departmental Recommendation
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B. Oral Summary

C. Chose not to be informed

11. I was informed whether or not the department vote for the recommendation was unanimous or by a strong or a narrow majority.
12. I was informed of my right to make written comments, within 5 working days, to the Chair (or appropriate person) regarding the departmental recommendation. I was aware that these comments, if provided, would be included in the file.
13. I was informed of my right to make written comments regarding the departmental recommendation to the Dean and that these comments would be included in the file. I understand that the department may be provided with such comments and be given an opportunity to respond.

I HAVE SUBMITTED THE FOLLOWING MATERIALS:

Suggested names of evaluators (in accordance with 4A above).

Names of persons who might not provide objective evaluations (in accordance with 4B above).

A written statement to the Associate Vice Chancellor for Academic Personnel (in accordance with 5 above).

A written statement in response to materials in the file (in accordance with 9 above).

A written statement about the departmental recommendation to the chair (in accordance with 12 above).

A written statement about the recommendation to the dean (in accordance with 13 above) and understand that the department may be asked to comment on it.

EXCEPTIONS OR COMMENTS: _____ No _____ Yes (If yes, attach a signed and dated sheet describing the exceptions or comments.)

SIGNED _____ DATED _____

PRINT NAME _____ DEPARTMENT _____

I-28
BIO-BIBLIOGRAPHY UPDATES
(Revised 11/06)

Each faculty member is responsible for updating his or her bio-bibliography (bio-bib) on an annual basis to assist the department chair in the annual review of all faculty (APM 220-80 b). The annual bio-bib update is maintained in the departmental file and an updated bio-bib must be submitted with each personnel review.

Sample Bio-Bibliography Form

(Page 1)

BIO-BIBLIOGRAPHY

University of California, Santa Barbara

Name

Date

Academic Title

Last update filed on

This update refers to the period

Curriculum Vitae

Education

Institution, degree, date of degree

Area of Specialization

Previous Academic or Professional Appointments

Year, title, institution

Professional Organizations

(Page 2)

PART I. RESEARCH

Cumulative List of Publications (or Creative Activities)

#	Year	Title and Authors	Publisher	Category

(Please draw line after items listed for prior review; indicate items previously listed as Work In Press, Work Submitted, or as Work In Progress.)
(Indicate priority of authorship when possible on jointly authored work.)

Work In Press

#	Year	Title and Authors	Publisher	Category
B-1 etc.				

Work Submitted

#	Yr Subm.	Title and Authors	Publisher	Category

C-1
etc.

Work In Progress (optional)

Title and Authors	Potential Publisher	Category
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- *Previously listed as Work In Press
- **Previously listed as Work Submitted
- *** Previously listed as Work In Progress

{ENTER STATEMENT OF DEPARTMENTAL TEACHING LOAD; AND EXPLANATION OF ANY COURSE RELIEF}

PART II. TEACHING

(Annual Teaching List, available from Budget and Planning, may be substituted for the bio-bib list of catalog courses)

Catalog Courses

Qtr	Course no., Title	Class Type	Units	Hrs/wk	Enrollment	Eval. Avail.
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Undergraduate Projects Directed

Student	Project	Chair/Member	Year-Deg Project Completed
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**Graduate Degree Committees
MA Committees**

Student	Yr Deg. Compl.	Chair/Member	Optional Info (e.g., Current Employment)
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PhD Committees

Student	Yr Deg. Compl.	Chair/Member	Optional Info (e.g., Current Employment)
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Postdoctoral Scholars Supervised

Year Name

Other Teaching Contributions (course improvements, new courses, honors seminars, etc.)

PART III. PROFESSIONAL ACTIVITIES

Lectures Presented

Month/Yr	Title	Meeting/Place
----------	-------	---------------

Grants and Contracts

Years	Source	Title	Amt.	PI
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Awards and Honors

Reviewing and Refereeing Activity

Date	Activity and for Whom
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Special Appointments (e.g., Editorships, Officer of Prof. Organization)

Years	Position	Type of Service

Other Professional Contributions (e.g., Consulting or other application of your professional expertise)

PART IV. SERVICE

University Service (Including administrative posts held)

Years	Position	Type of Service

Public Service (including service to K-12 Education)

Years	Position	Type of Service

I-30
ROUTINE MERIT REVIEWS
(Revised 01/09)

The following merit actions are considered “routine” when the departmental recommendation is for an on-schedule *(one-step)* merit advance with no increase or decrease the off-scale salary supplement, *regardless of the number of years since last review*:

Assistant Professor Series:

Advances from Step II to III, and III to IV

Associate Professor Series:

Advances from Step I to II and II to III

Professor Series:

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

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

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

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

I-33
NON-ROUTINE REVIEWS
(Revised 01/09)

The following actions are considered non-routine:

Formal Appraisal

Terminal Appointments

Promotion to Associate Professor

Promotion to Professor

Merit to a special step

Merit to Professor Step VI

Merit to or within Professor Above Scale

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

Reduction in off-scale supplement

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

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

HOW TO WRITE A DEPARTMENTAL LETTER Appointments and Non-Routine Advancements

(Revised 11/06)

Accurate and analytical letters of recommendation from the department are essential in the review process. The candidate and his/her department must make the case; other reviewing agencies cannot do so. The analysis should be extensive, and for promotions, merits to Professor VI and to Above Scale the analysis should cover the cumulative record of the candidate. In cases where acceleration is recommended, explicit justification must be given for the recommendation. In any case, the letter should clarify which of the candidate's accomplishments precede the last review and which follow.

Personnel reviews that have been deferred due to a family accommodation (i.e. childbearing or parental leave, time off the clock) should be evaluated without prejudice as if the work were done in the normal period of service. The departmental letter should clearly state that the standard expectations are being applied.

In the case of a negative departmental recommendation, the basis of the recommendation should be documented as well. The analysis overall should strive for balance. It should identify criticisms and reservations, especially when there is significant opposition to the recommendation. It should, if indicated, include an assessment of the significance of particular extramural views or judgments. Individuals who have provided confidential letters of evaluation should not be identified, except by means of a coded list (e.g., "Reviewer A"). Note that in career reviews (promotions and advancement to Professor VI or Above Scale), the department letter should provide an overview of career accomplishment as well as the achievements of the most recent review period.

The letter should provide a comprehensive assessment of the candidate's qualifications together with detailed evidence to support this evaluation. The letter should be a complete professional evaluation (accurate and analytic), including both supportive and contrary evidence. At the same time the letter should be succinct. Extended quotations from supporting documents (e.g. external letters, bio-bib) and rhetorical statements are to be avoided, since overly long letters are a burden to all reviewing agencies. The Chair should make clear which portions of his/her letter refer to the candidate's past accomplishments and which refer to accomplishments falling within the current **review period**.

Teaching, research, professional and public service contributions that promote diversity and equal opportunity are to be encouraged and given recognition in the evaluation of the candidate's record.

Suggested format for letters of recommendation

1. Brief outline of the mechanisms used for soliciting information and evaluating the academic performance of colleagues in cases of merits, promotions, and so forth (e.g., departmental use of ad hoc committees, teaching evaluation committees, departmental meetings to assess candidates, etc.). Explanation of any apparent anomalies in the voting, e.g., a disproportionately small number of votes relative to departmental size, or excessive abstentions should also be explained.
2. The basis for the departmental recommendation, including analytical evaluation of the performance in each of the four review areas.

A) Research

Present a full evaluation of candidate's research record, indicating the significance of the research accomplishments.

The departmental letter should present the publication record for the current review period according to the following format: [A] Published work; [B] Work in press; [C] Work submitted.

In certain fields such as art, architecture, dance, music, literature, and drama, distinguished creativity should receive consideration equivalent to that accorded to distinction attained in research. In evaluating artistic creativity, an attempt should be made to define the candidate's merit in the light of such criteria as originality, scope, richness, and depth of creative expression. An important element of distinction is the extent of regional, national, or international recognition.

The departmental letter must assess the degree and quality of the candidate's role in any collaborative work, or explain why such assessment is impracticable.

B) Teaching

The department letter should assess the overall contributions of the candidate to the departmental curriculum on lower-division, upper-division, and graduate instruction. The department assessment might also evaluate the candidate's contribution to academic advising, thesis and dissertation directorship, committee work relating to the curriculum, "mentoring" colleagues, or frequency of invited lectures given by the candidate.

The letter should include an evaluation of the candidate's teaching performance, including an analytical evaluation of the ESCI scores and indicating the significance of the record. This should include information on the number of graduate committees (MA and Ph.D. as reflected in the bio-bibliography).

C. Professional Activity

The departmental letter should include a full analysis of the candidate's performance, indicating the most prominent features of the record. The significance of honors, awards and extramural grants should be described.

D. University and Public Service

The letter should include a full analysis of candidate's involvement, indicating the significance of the record and the quality of the service.

3. Summary

This section is optional, and may be used to summarize the most significant accomplishment of the review period, and to provide an explicit justification for acceleration or other special action.

In cases of appraisal, departments may make one of the following three recommendations: a) Continued Candidacy: indicating an assessment that the candidate is likely to eventually qualify for promotion to tenure rank. B) Continued Candidacy with Reservations: indicating an assessment that there is an identified weakness in the record that appears to require correction in order for the individual to eventually qualify for promotion to tenure rank. C) Terminal appointment. In addition, the letter must also include an evaluation of the performance as progress toward eventual tenure.

Chair's Separate Confidential Letter

While this option is not often used, the Chair may, in accordance with APM 220-80e, submit a separate letter indicating his/her own analysis and recommendation. This letter is not made available to other members of the faculty in the department. It should be noted that a Chair's separate letter is designed to be evaluative of the evidence available to the department; new evidence can be considered on the rare occasions when it could not be appropriately shared with the department. A Chair's confidential letter may also be used to address unresolved issues between majority and minority opinions related to a case, or to address a candidate's comments in response to the departmental review. When a Chair submits a confidential "Chair's separate letter", it should be clearly identified as such, and will become part of the personnel review file. The status of such a letter is considered to be non-departmental (as is a letter from a dean). It is not submitted to an ad hoc review committee when one is convened. As a "confidential academic review record" (as defined in APM 160-20-b), a Chair's letter will be made available to the candidate upon request, *in redacted form, along with other review agency reports at the end of the review process.*

I-45
ACADEMIC PERSONNEL REVIEW FORM
 For ladder faculty and Lecturer SOE series
Informational only- all cases are to be submitted on line
 (Revised 01/08)

Name _____

Department _____

PRESENT STATUS

PROPOSED STATUS

Rank and Step _____

Rank and Step _____

Current Salary _____

Proposed Salary _____

O/S Supplement _____

O/S Supplement _____

Years at Rank _____

Effective Date _____

Years at Step _____

Years since last Advancement if different _____

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

For appraisals: cont. cand: cont. cand. w/res: terminal: abstain: not voting:

Statement of voting method and comments on the vote:

CHECK ONE:

ROUTINE: _____

NON-ROUTINE: _____

- _____ On-schedule advancement to:
- _____ Asst Prof III and IV
- _____ Assoc Prof II and III
- _____ Prof II-V and VII-IX.
- _____ Lecturer SOE (salary below Prof I)
- _____ Sr. Lecturer SOE (salary below Prof. V)

- _____ Check as appropriate:
- _____ Formal Appraisal
- _____ Promotion
- _____ Acceleration
- _____ Prof VI
- _____ To Prof Above Scale
- _____ Within Prof Above Scale
- _____ Special Step (Asst. V; Assoc. IV)
- _____ Increase *or decrease* in off-scale *only (no change in rank or step)*
- _____ No Change
- _____ Career Equity Review
- _____ *Retention*

_____ Deceleration *in time* of any of the above

Check all documents to be submitted. Note that a Dean may require some of the items listed as optional.

For all Cases:

- _____ Departmental letter of recommendation
- _____ Candidate response to departmental letter or extramural letters (optional)
- _____ *Outside Offer letter (required for retention cases)*
- _____ Completed Bio-bibliographical Update
- _____ *Budget & Planning Teaching Report*
- _____ Chair's confidential letter (optional)
- _____ Minority Opinion letter (optional)
- _____ Redacted Minority Opinion letter
- _____ Teaching Evaluation: ESCI Score Tabulation and at least one of the following:
 - _____ Written Student Evaluations

- ___ Candidate's Self-Assessment of teaching
- ___ Instructional Consultation report
- ___ *Peer Evaluation or other teaching reports*
- ___ Additional Source(s) of Evaluation: List _____

- ___ Candidate's Self-Assessment of research (optional)
- ___ Sabbatical Leave Reports for the period, if any
- ___ Outside Activity Reports for the period
- ___ Copies of publications

For career reviews (promotion, merit to Step VI, merit to Above Scale) , also include:

- ___ 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
 - ___ CV
 - ___ Other one-of-a-kind
- ___ List of Referees, including brief biography and indicating who selected referees
- ___ Redacted letters (if provided to the candidate)

I-49
SAMPLE LETTER FOR SOLICITATION
OF EXTRAMURAL EVALUATION
(Revised 09/09)

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

[Sample wording for evaluation request: e.g. I would greatly appreciate your evaluation of _____'s work.] While you may not be familiar with all aspects of the record, we appreciate your comments related to those areas with which you are familiar. Please also indicate whether or not you would support the recommended action based on your knowledge of _____ and his/her record.

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 09/09)

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.

II-10

Excellence Reviews and Subsequent Merit Reviews

(Revised 04/09)

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).

5. *Requests for reconsideration of a final decision will be governed by Red Binder I-10.*

II-28
VISITING PROFESSOR
(Revised 01/06)

I. Definition

The Visiting prefix is used to designate one who:

1. Is appointed temporarily to perform the duties of the title to which the prefix is attached; and
2. Either has held, is on leave from, or is retired from an academic or research position at another educational institution; or whose research, creative activities or professional achievement makes a visiting appointment appropriate.
3. Fits both of the above criteria and is appointed through Summer Session. Summer Session Visiting appointments are covered by separate policies and procedures (Office of Summer Sessions Summer Visiting Faculty Appointment and Review Policies and Procedures, June 12, 2001)

See APM 230 for System-wide policy on Visiting titles.

II. Appointment Criteria

A Visiting Professor who is on leave or retired from another institution, will normally be appointed at the same rank and step as the individual's title at the home educational institution.

The criteria for evaluation shall be the same as for the corresponding regular title. Because the appointment is temporary, reasonable flexibility may be employed in the application of these criteria. Care should be taken to inform the appointee of the provisions of IV below.

Use of the Visiting prefix with the Professorial series will require CAP review and final approval from the Associate Vice Chancellor for Academic Personnel if the proposed appointee is not on leave from, or retired from an academic or research position at another educational institution or has not held such a position in the past. *Appointments to Visiting Assistant Professor Programs in Mathematics or similar disciplines may be approved by the Dean but will be post-audited by CAP.*

III. Term of Appointment

Each appointment or reappointment with a Visiting prefix shall not exceed one year. The total period of consecutive service shall not exceed two years.

In the case of Visiting Assistant Professor Programs in Mathematics or similar disciplines where curriculum-driven justification supports the need, the total period of consecutive service may be extended to three years.

If the appointee is later considered for transfer to a corresponding appointment in the regular series, the proposal for such transfer shall be treated as a new appointment subject to full customary review.

IV. Compensation

The salary for a visiting position is negotiated. While the salary does not have to be on-scale on the corresponding regular series scale, the salary may not be below the minimum rate for the rank. For example, a Visiting Professor may not be paid below the Professor Step I rate. Because these salaries are negotiated on an individual basis, they are not subject to range adjustments. For travel expense reimbursement, see APM 230-20h.

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

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

Visiting appointments may also be made without salary.

V. Appointment process

Requests for appointment in the Visiting Professor series must include a Departmental letter of recommendation, a UCSB Biography form and either a CV or Bio-bibliography. The Departmental letter must indicate the courses to be taught, the pay rate, the term of the appointment and information concerning the individual's current academic appointment.

For reappointment as a Visiting Professor, evaluation of past teaching is also necessary. ESCI scores and, if possible, student comments should be included with the request.

VI. Restrictions

- A. An appointee with a visiting title is not a member of the Academic Senate.
- B. Sabbatical leave credit may be accrued if the visiting position is immediately followed by employment as a faculty member in the regular ladder series (APM 740-11b).
- C. Neither tenure nor security of employment is acquired, although eligible service with certain visiting titles is credited under the University's eight-year limit (APM 133).

VII. Approval Authority

Action

Authority

Professor Series:

Appt up to 6 quarters

Beyond 6 quarters

Dean

Associate Vice Chancellor

III-3
TEMPORARY ACADEMIC APPOINTMENT
FORM LETTER
(Revised 02/05)

Contact Info: (name, extension, e-mail address)

Administrative comments: (Note change of title/series, sharing appointment with other unit(s), or any other information of importance to the administrative review.)

Date

To: (Appropriate Vice Chancellor)

From:

RE: New appointment Reappointment Modification

~~Merit (grandfathered Visiting Postdoc or Postgraduate Researcher only)~~

I. ALL APPOINTMENTS

- A. Name of proposed appointee:
- B. Title:
- C. Step: Regular salary scale Engineering Scale
- D. Annual Salary:
- E. Source of funding: (If 19900, complete section "L")
- F. Percent of time:
- G. Begin date:
- H. End date:
- I. Space assignment:
- J. Date Affirmative Action Search Plan completed: _____ or _____ P.I. on grant
(If no search plan submitted, complete section "L")
- K. Description of duties:
- L. Exceptions to policy requested
 Open recruitment: (explain why search is unnecessary OR justify waiver of search)
 Near relative
 Other (explain):

II. INITIAL APPOINTMENTS:

- M. Education History
 Not currently registered as a UCSB graduate student (including on leave or with an open degree objective)
Highest degree earned:
Date:
Institution:
(if Ph.D. needed for appointment level and not earned, complete section L)
- N. Justification for level of appointment:
- O. Analytical evaluation of the academic, professional qualifications and experience, especially past research record and professional accomplishments:

III. ~~MERITS (Postgraduate Researcher or Visiting Postdoc)~~

- ~~P. Analytical evaluation of research accomplishments supporting this merit.~~

THE FOLLOWING INFORMATION MUST BE GIVEN TO ALL TEMPORARY RESEARCH APPOINTEES:

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

The Federal Immigration Reform and Control Act of 1986 requires employers to verify the work-eligibility prior to actual employment. Upon acceptance of this offer, the Department Chair will forward employment forms, the Employment Eligibility Verification form (I-9), and instructions for their completion. If you are assigned to perform substantial work under certain federal contracts/subcontracts during your employment with the University, the University will need to confirm your eligibility to work in the United States through E-Verify. Should you have questions, please contact the department's office manager.

IV- 10
GRADUATE STUDENT RESEARCHER
(Revised 09/08)

I. Definition

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

II. Appointment Criteria

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

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

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

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

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

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

III. Term of Appointment

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

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

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

IV. Process for Appointment

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

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

V. Approval Authority

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

IV-3
ASSOCIATE IN _____
(title code 1506)
(Revised 05/05)

There is no APM section describing this title. At UCSB, the application of this policy is outlined in the following:

I. Definition

This title is assigned to registered UC graduate students employed temporarily to give independent instruction

II. Appointment Criteria

An Associate should be competent to conduct independently and without supervision the entire instruction of a course.

- A. Appointment to the Associate title is limited to a maximum of 50%. If a registered student is appointed by any campus in this and any other appropriate academic title, the combined appointments may not exceed half-time.
- B. Appointment to the Associate title requires maintenance of good academic standing (grade-point average of at least 3.0 in academic work and fewer than 12 units of incomplete or no grades).
- C. Current enrollment in a minimum of 8 units in a recognized program of graduate study within the appropriate degree deadlines is required for appointment.
- D. The minimum qualifications for appointment to the Associate title shall be possession of a Master's degree, or advancement to candidacy, or equivalent training and at least one year of teaching experience.

III. Conditions of Employment

- A. Normally an Associate will conduct the entire instruction of a course. An Associate may not give an upper division course except with the approval of the Undergraduate Council.
- B. Associates may not evaluate fellow graduate student appointees (i.e., Teaching Assistants). For courses in which Teaching Assistants are appointed, a specific faculty member must be named to be responsible for evaluation and mentorship of the Teaching Assistants.
- C. This appointment does not imply the responsibility of engaging in research.
- D. Doctoral students admitted Fall quarter 1995 or later must meet the four-year time limit set for advancement to doctoral candidacy by Graduate Council.
- E. Doctoral students must be within the seven-year time limit set for the doctoral degree in Academic Senate Regulation 35A.

IV. Personnel Actions

- A. The start date for students employed in this title will be either September 1 or October 1 for fall quarter, January 1 for winter quarter, and April 1 for spring quarter. Payment of students will be at the 1/9th rate.
- B. Appointees shall be notified in writing of their appointment. The written notice of appointment shall specify the beginning and ending dates of the appointment.

C. Appointment packets should include the following:

Department Letter of Recommendation

UCSB Biography form with initial appointment in department
(original plus one copy)

Teaching Evaluations

Graduate transcript

D. Appointment packets should be submitted to the Dean of the Graduate Division at least six weeks in advance of the beginning of the quarter.

V. Compensation

A. Individuals appointed to this title are compensated at any rate within the published "Associate" range of the Academic Salary Scales at the 1/9th rate.

B. Salaries are subject to range adjustment.

VI. Approval Authority

Action

Authority

All Actions

Dean, with prior approval of the Dean of the Graduate Division

VII. Sample Chair's letter for Associate appointment

TO: Dean

VIA: Graduate Division

FROM: Chair

RE: Appointment of _____

E-mail address of departmental contact:

The department of _____ proposes the appointment of _____ as Teaching Associate for _____ (course code/number).

Quarter/Academic Year: _____

Percent time: _____

FTE: _____
(%/3 x number of quarters)

Annual salary _____
(Salary Scale #21)

Current Year Cost: _____
(Annual salary/3 x % time x number of quarters)

ASSIGNMENTS:

For each course, provide the following:

Course Number	Title	#Units	Hrs/Wk	Max enrollment	Required for majors?	Normally taught by
---------------	-------	--------	--------	----------------	----------------------	--------------------

If the course satisfies a GE core area or special requirement, specify area and/or special requirement.

Also provide for each course the description as published in the UCSB General Catalog (may be cut and paste from www.catalog.ucsb.edu)

Will Teaching Assistants be appointed to this class? Yes: _____ No: _____

If yes:

Number of TAs _____

TA faculty mentor and evaluator (required): _____

Method of supervision by faculty mentor/evaluator: (i.e., attending weekly meetings of Associates and TAs): _____

Are any of the courses to be taught upper division courses? Yes: _____ No: _____

Are any of the courses to be taught graduate courses? Yes: _____ No: _____

If yes, provide the exceptional situation requiring the hiring of an Associate to teach this course: _____

If yes, provide a copy of the Associate's syllabus for the course for CUAPP and Undergraduate Council review.

APPOINTMENT CRITERIA:

Quarter first enrolled in UCSB graduate program: _____ Overall GPA: _____

Units of incompletes/no grades: _____ Enrolled in _____ units in appointment quarter.

Date Masters received: _____

Total quarters of combined service in TA or Associate titles on any UC Campus _____.

as TA: _____ # as Assoc: _____ # in F, W, SP: _____ # in Summer: _____

Teaching experience: Include a brief narrative that discusses the subject competence and relevant teaching experience of the proposed Associate.

Approved by Graduate Division: (date) _____

Approved by CUAPP: (date) _____

Approved by Dean: (date) _____

VI-15
INTERCAMPUS PAYMENTS
(Revised 09/08)

Reference: APM 666

One-time Payments

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

One-time honorarium payments are allowable up to ~~\$1,000~~ \$1,500 per event, and up to ~~\$2,000~~ \$3,000 by exception, requiring the approval of the Associate Vice Chancellor for Academic Personnel. During the academic year the total earned for lectures and similar services may not exceed 10% of the individual's annual salary.

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

Multi-campus appointments

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

Processing of forms

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

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

VII-11
EMPLOYMENT OF NEAR RELATIVES
(Revised 10/01)

APM 520 contains the University policy regarding employment of near relatives. Approval of employment of near relatives, ~~i.e., husband, wife, mother, father, daughter, son, sister, brother, step relatives, in laws, or domestic partners, as defined by APM 520-4,~~ within the same department requires the approval of the Chancellor or Chancellor's designee. Similarly, approval is required if two appointees already holding such positions subsequently become near relatives.

Faculty members may not participate in the review or decision- making on any personnel action of a near relative.