

Summary of changes

I-27 Format of research section on the biobib

Clarifies notations that are to be used for various categories of publications.

I-56, VI-7 SOE series educational leaves

Clarifies criteria for educational leaves.

III-16 Specialist series appointments

Clarifies that appointment may be for up to one year at a time.

III-28 Curator

Proposed new policy

III-35 Non-Senate Grievance procedure

Rewrite of section to update references, clarify procedure, and remove option of grievance hearing board to conform to practice.

IV-10 Graduate Student Researchers

Clarifies that fee remission status is based on percent time in the GSFR system

VI-2 Sabbatical leave in residence

Clarifies level of administrative work that is required in lieu of teaching a course

VI-17 Additional compensation

Update of DOS code information based on system-wide changes

VIII-7 Faculty Fellows program

Delete section- program no longer exists.

VIII-8 Distinguished Faculty program

Note that no new appointments are being made to this program

VIII-10 President's Postdoctoral Fellowship program

Correction to title code used for appointments

I-27
INSTRUCTIONS FOR COMPLETION OF THE
BIO-BIBLIOGRAPHY

(Revised 05/07)

It is the responsibility of each faculty member to maintain an up to date bio-bibliography (bio-bib). The bio-bib should contain information ending at the campus cut-off date of September 15, or the date established by the candidate's department if an earlier date has been established. Information that falls beyond that date will not be considered in the review.

Short Curriculum Vitae

The first page of the bio-bib should contain an abbreviated curriculum vitae. The following categories should be included: Education, Area(s) of Specialization, Professional Experience, and Professional Organizations.

Research

The bio-bib must contain a comprehensive and complete itemized list of publications (or other creative activity) for the entire career. Items should be identified as published, in press, submitted, and in progress ~~(optional)~~ according to the following format:

[A] Published work; work that has appeared in final, published format

[B] Work in press; work that has been formally accepted, completed, and is in the process of being published. In-Press work is counted toward advancement and evidence should be supplied documenting the In Press status

[C] Work submitted; work that has been submitted but not yet accepted. Such work is required to be included in the case. It is not usually counted for the advancement, but it is used as evidence of continuing scholarly productivity.

[D] Work in progress; work that has not been completed and is available for review. Such work is not counted for the advancement, but it can be used as evidence of continuing research activity. Departmental practice will dictate if work in progress is included in the case

A line should be drawn separating all new items from ones which in one form or another were part of the review file underlying the last successful advancement and should be clearly identified with an explicit indication of their subsequent change in status (e.g., previously listed as "submitted", etc.). using the following notation system:

** for items previously listed as Work In Press*

*** for items previously listed as Work Submitted*

****for items previously listed as Work In Progress*

Footnotes should indicate the number of the publication from the prior review (i.e. previously item B-1). If a change in title has occurred since the last bio-bib, the footnote should also indicate the previous title.

If the previous action resulted in an increase in off-scale supplement only or a no-change decision, two sets of lines may be used to differentiate between what was included in the

previous case vs. what took place during the review period. The departmental letter should explain the use of two sets of lines.

It is helpful to code items not yet published by letter coding. For example, in press items should be "B 1, B 2, etc.", submitted items should be "C 1, C 2, etc." See Red Binder I 75, pg 7 for information on classifying specific types of works.

Teaching

The bio-bib must contain an itemized, chronological (by quarter) list of workload since the last successful review. This list should include: quarter and academic year, course number, course title, course format, unit value, enrollment, share of teaching assignment, and indicate if evaluations are available. If the Budget and Planning print out is used information concerning the availability of evaluations must be added.

The bio-bib should also contain a statement of normal teaching workload for the department overall (e.g., 2-2-1) and a brief explanation of any deviations from this workload (e.g., sabbatical, administrative assignment).

A listing of graduate committee (MA and Ph.D.) service and related information since the last successful review must also be included. It should be clearly stated if service was as Chair or a member of the committee. The bio-bib should also indicate if the degree was completed during the current review period.

If a cumulative list is maintained for any of the teaching categories, a line must be drawn to show which activity is new since the last review.

Professional Activity

The bio-bib must contain an itemized list of professional activities in appropriate categories (e.g., seminars, workshops, book reviews, professional memberships, extramural grants, refereeing for journals, consulting, and so forth) that have occurred since the last successful review. If a cumulative list is maintained, a line must be drawn to show which activity is new since the last review.

University and Public Service

The bio-bib must include an itemized list of various activities by categories or level (e.g., department, Senate, administration, community, governmental, and so forth) that have occurred since the last successful review. If a cumulative list is maintained, a line must be drawn to show which activity is new since the last review.

I-56
**LECTURER/ SENIOR LECTURER
SECURITY OF EMPLOYMENT**
(Revised 05/10)

Security of Employment

An appointment with Security of Employment or Potential Security of Employment can only be granted in conjunction with the titles Lecturer or Senior Lecturer, Security of Employment is not a reward for length of service but is based upon appraised and recognized merit. It cannot be conferred on an appointee unless there is an appropriately budgeted provision for the appointment. An individual may first be appointed as Lecturer with Potential Security of Employment. This may be viewed as a "security of employment-track" position, in the same way that an Assistant Professor position is a "tenure-track" position. Appointments in this series must be at greater than 50%. Lecturers with Potential Security of Employment and Lecturers or Senior Lecturers with Security of Employment are members of the Academic Senate when appointed at 100%.

Campus Policy on Allocation of FTE

It is campus policy to consider the possible allocation of a provision for a Lecturer or Senior Lecturer SOE or Lecturer PSOE primarily in cases where the curricular duties are so specialized in character that it would be difficult to assure continuance of the presentation of the subject matter with any other type of appointment. A permanent allocation will be made only after an administrative review of a departmental request that must make a persuasive case that such an appointment fits this description and meets long range needs. This request and supporting justification should be submitted to the Executive Vice Chancellor via the Dean; it will also be reviewed by the Counsel on Planning and Budget. Lecturer and Senior Lecturer provisions will be rarely granted and only after the most rigorous scrutiny. The reason for this is that the university is primarily both a research and teaching institution. Provisions for permanent appointments or reappointments with the possibility of permanence should normally be used for the appointment of regular ladder faculty, that is to say, faculty who engage in both research (or other creative activity) and teaching.

I. Qualifications

At least one of the following qualifications is essential for appointment in the Lecturer SOE series:

1. Teaching ability in a subject matter so specialized in character that it would be difficult to assure continuance of the presentation of the subject matter with any other type of appointment, and promise of future growth.
2. Lecturer PSOE: clear evidence of potential excellence in teaching and promise of future growth.

Lecturer SOE: teaching ability of exceptional quality, and promise of future growth.

Sr. Lecturer SOE: teaching ability of exceptional quality and evidence demonstrate, in terms appropriate to this type of appointment, that the candidate has reached the level of professional achievement required of a professor.

II. Appointment Criteria

Teaching:

Excellent teaching is an essential criterion for appointment. Clear documentation of ability and effectiveness in teaching is required. In judging the effectiveness of a candidate's teaching, such points as the following should be considered:

1. The candidate's command of his/her subject.
2. Continuous growth in his/her field.
3. Ability to organize material and to present it with force and logic.
4. Capacity to awaken in students an awareness of the relationship of his/her subject to other fields of knowledge.
5. Grasp of general objectives.
6. The spirit and enthusiasm which vitalize his/her learning and teaching.
7. Ability to arouse curiosity in beginning students and to stimulate advanced students to creative work.
8. Personal attributes as they affect his/her teaching and students.
9. The extent and skill of his/her participation in the general guidance and advising of students.

Documentation

Documentation of teaching should include a description of the candidate's teaching load for the review period (at UCSB the normal teaching load for Lecturers in the SOE series is three courses per quarter or an appropriate equivalent). Documentation should also include an enumeration of the MA and Ph.D. candidates supervised or directed to completion of their degrees, and class-by-class summaries of all available teaching evaluations. Other significant types of evidence include:

1. Opinions of colleagues, particularly if based on class visits, observations of lectures, or knowledge or performance in courses prerequisite to those taught by the informant.
2. Opinions of current and former students.
3. Number and caliber of students the candidate has guided in their studies or attracted to the campus by his/her repute.
4. Information about the reception of lectures given by the candidate before professional or learned societies.
5. Information about time spent in teaching extra courses including University Extension, being available to and guiding students outside class, preparing for classes, undertaking courses he/she has not taught before, and improving instructional methods.

Student and peer evaluation of teaching is central to the review process, but evidence will also be sought of significant contributions to university level teaching through development of superior teaching materials, programs for teaching improvement, and other activities related to teaching.

Professional Competence and Activity

Evidence includes such items as:

1. Election to significant offices of professional or learned societies.
2. Initiations to lecture, present papers, etc.

3. Awards, grants or honors bestowed by organizations or foundations.
4. Requests for consultative service.

University and Public Service

Evidence should include a list of the candidate's services (with dates) in departmental, Academic Senate and administrative capacities (including committee service), and a list of formal service to the community or to public agencies. Evaluation of service in these areas is helpful. Recognition should be accorded the candidate for able administrative or faculty governance, and for able service to the community, state or nation when such service rests upon professional expertise. Contributions to student welfare should also be recognized.

Letters of evaluation

At least 6 letters of evaluation should be submitted with the case for appointment or promotion with Security of Employment, at least half of which come from individuals selected by the Chair in consultation with the department but independent of the candidate. Letters from extramural referees with knowledge of the candidate's professional status and teaching record are preferable, although internal referees may also be used to provide evaluation of the teaching record. In all cases, the sample letter for solicitation of extramural evaluation (Red Binder I-49) and the sample wording by proposed action (Red Binder I-50) should be used.

Red Binder I-46 to I-48 provides further information relating to letters of evaluation. An ad hoc review committee will be appointed to review any appointment to Lecturer SOE or Senior Lecturer SOE (Red Binder, I-60)

III. Compensation

The review cycle for a Lecturer in the SOE series is determined by the years at rank and years since last advancement.

Salaries for Lecturers with Potential Security of Employment will normally begin at a close equivalent to the salaries for Assistant Professors. Academic personnel review will occur every two years. Promotion to Lecturer SOE will normally occur during the sixth year of service as Lecturer PSOE.

Salaries for a Lecturer SOE normally begin at a close equivalent to the salaries for Associate Professors. Academic personnel review will occur every two years. Eligibility for advancement to Senior Lecturer SOE will occur after six years as Lecturer SOE. An individual who is not promoted to Sr. Lecturer SOE may continue to receive further merit increases, however eligibility will be every three years if the individual is being paid at a level equivalent to the salary of a Professor. The salary of a Lecturer SOE will not exceed the level of Professor VI.

Salaries for a Senior Lecturer SOE begin at a close equivalent to the salary for Professor I. Academic personnel review will occur every three years.

IV. Restrictions

1. An Assistant Professor with eight years of service, who is not promoted to Associate Professor may not be appointed to the Lecturer SOE series unless a five year break in service has occurred.
2. Total service at more than half-time as Lecturer with Potential Security of Employment is limited to a maximum of eight years.
3. For a Lecturer PSOE at less than 100% time, promotion to Lecturer SOE automatically removes the individual from Unit 18.

4. Since appointees in the Lecturer series are hired for their teaching skills, they will normally carry significantly higher teaching loads than members of the professorial series. At UCSB the teaching load for the Lecturer SOE series will be determined by the departmental workload policy for titles in Unit 18.
5. Lecturers in the SOE series are not eligible for sabbatical leave. They may however request "educational leave" as described in Red Binder VI-7, which will be granted based on the quarters of service in the same manner that sabbatical leave credits would be earned.

V. Advancement

The academic advancement process for the Lecturer SOE series will be governed by the policies and procedures for ladder faculty reviews (Red Binder I-22). Lecturers in this series will be guaranteed the same rights and will undergo the same levels of review as ladder faculty. All cases should be prepared using the Academic Personnel Review Form (Red Binder I-45) and the checklists for submission by the department chair (Red Binder I-31 and I-34). Since teaching is the primary area of review in the SOE series, it is highly recommended that written student comments be included with the case.

1. Merit

Merits within a Lecturer PSOE, Lecturer SOE or Senior Lecturer SOE title are considered "routine" if they are on time based on the limitations in III above, the proposed salary increase is for at most two increments on the appropriate salary scale. These actions should be prepared using the guidelines listed in Red Binder I-31.

2. Appraisal

A Lecturer PSOE has a probationary period much like that of an Assistant Professor. A mid-career review and appraisal of progress toward promotion will take place during the fourth year of service and will be conducted according to procedures and with the degree of rigor used in evaluating regular faculty (Red Binder I-38).

3. Promotion

A Lecturer PSOE will become eligible for promotion to Lecturer SOE when the salary is a close equivalent to Assistant Professor IV. Promotion must occur by the end of the eighth year of service. Promotion to Lecturer SOE will require the same level of qualifications as initial appointment to Lecturer SOE.

A Lecturer SOE will become eligible for promotion to Senior Lecturer SOE after six years of service as Lecturer SOE. Promotion to Senior Lecturer SOE will require the same level of qualifications as initial appointment to Senior Lecturer SOE.

Promotions and accelerated actions are considered "non-routine" and should be prepared using the guidelines listed in Red Binder Section I-34. Ad hoc review committees will be formed in cases of promotion to Lecturer SOE.

III-16
SPECIALIST SERIES
(Revised 05/10)

I. Definition

The Specialist series is used for academic appointees who assist in research in specialized areas and who do not have any teaching responsibilities. See APM 330 for System Wide policy on Specialists.

II. Ranks and Steps

- A. Jr. Specialist I-II
- B. Assistant Specialist I - III
- C. Associate Specialist I - IV
- D. Specialist I - V

III. Appointment Criteria

Specialist appointments may be made to provide research projects with special skills, experience, and knowledge. At the Junior and Assistant levels, the appointee enables research as part of a team. At the Associate and full level, the appointee provides considerable independent input into the planning and execution of research and may work under the direction of a member of the Project Scientist, Professional Research or Professorial series. A few individuals are appointed to the Specialist Series to provide specialized skills in support of research, rather than conducting research as the principle responsibility.

In judging a candidate for appointment or promotion to a position in this series, the following criteria are provided as guidelines and may be used flexibly where deemed necessary.

- 1. Performance in research in specialized areas.
- 2. Professional competence and activity.
- 3. University and public service

IV. Term of Appointment

- A. There are no limits on service at any level in this series.
- B. Appointments ~~may be~~ **are** made for **up to** one year at a time.

V. Compensation

- A. Individuals appointed to this series are compensated on the salary scales established for the Specialist Series on a fiscal year (11 month) basis.
- B. Off-scale salaries are not allowable in the Specialist series.
- C. Salaries are subject to range adjustment.
- D. Each source that provides compensation for service in this series must permit research.

V. Advancement

Appointment cases are to be prepared using the Research appointment checklist (Red Binder III-7). Particular attention should be paid to section O, which requires analytical evaluation of the

candidate and his or her accomplishments.

Advancement cases are to be prepared using the Research Title Review Form (Red Binder III-4) and the checklist of documents to be submitted by the chair for research reviews (Red Binder III-9). All advancement actions are based on the individual's achievements and the availability of funding. Normal advancement will occur after 1 year at step at the Junior level, 2 years at step at the Assistant and Associate level and after 3 years the Full Specialist level. Merits are based on the academic record since the time of last review while promotions are based on the career academic record. Any advancement requested prior to that time will be considered an acceleration and must be justified as such.

Chair/Director Letters of Recommendation

The Chair/Director's letter of recommendation for merit or promotion should include an evaluation of the candidate's work and an evaluation of the candidate's contributions to the group effort, if relevant. In addition to the foregoing, recommendations for promotion must provide documentation of the scientific, technical, or otherwise creative contributions of the candidate (as contrasted to contributions to a group effort). Each unit should establish set procedures for evaluation of Specialist series appointments and advancements and development of the letter of recommendation. While review done solely by the Director or PI is acceptable, a fuller review, including input from other equal or higher ranking individuals in the unit is preferable.

External Evaluation

While extramural letters of evaluation are not required for appointment or promotion in the Specialist series they may, in some cases, be helpful in evaluating the candidate's record. When letters are solicited, the sample letter for solicitation of extramural evaluators (Red Binder I-49) should be used, with the following wording inserted as appropriate:

Appointment (or Promotion) to Associate Specialist/Specialist requires evaluation in the areas of: 1) research in a specialized area, 2) professional competence and activity, 3) university and public service.

Reviewing agencies reserve the right to request that letters be solicited in any advancement case if it is determined that more information is necessary to support the proposed action.

VI. Approval Authority

Action

Authority

All actions

Vice Chancellor for Research

III-28
CURATOR
(05/10)

There is no APM section describing this title. The title code for this series is 3650. At UCSB, the application of this policy is outlined in the following:

I. Definition and appointment criteria

An individual may be appointed to the without salary Curator title in a recognized Center or Museum when they:

- 1) Have expertise in a particular discipline or collection
- 2) Are a recognized authority in the particular discipline or collection
- 3) Are actively involved in the management, curation, and conservation of the collection.

In addition, an individual appointment into the title of Curator is expected to:

- 1) Advise the collections staff on curation
- 2) Educate the public through such activities as workshops, seminars, leading tours for university classes, K-12 outreach programs
- 3) Assist in grant writing and fund-raising as appropriate.

II. Conditions of use of title

An individual appointed as Curator will continue to hold their underlying faculty or staff title on a paid basis. The hiring unit will define the specific curatorial responsibilities for each appointee.

III. Approval authority

Action
All appointments

Authority
Dean or VC Research

III-35
PROCEDURES FOR NON-SENATE ACADEMIC GRIEVANCES
(Revised 05/10)

Sources: APM 140 - General University Policy Regarding Academic Appointees, Non-Senate Academic Appointees/Grievances
~~APM 390-40 Postdoctoral Scholars Grievance Procedures~~

This policy applies to all academic appointees who are not members of the Academic Senate, except those appointees covered by a Memorandum of Understanding or employed as a Postdoctoral Scholar. Student academic employees not covered by an MOU may only grieve matters related to their academic appointment.

Grievance Liaison: The Office of Employee & Labor ~~& Employee~~ Relations shall serve as the liaison office for any grievance proceedings conducted under APM 140 ~~and Red Binder III-35. or APM 390.~~

~~Time Limit: A Formal Review of a grievance (Step II) must be filed in writing with the grievance liaison within 30 calendar days of the date the grievant knew of the event causing the grievance. Informal review does not extend the time limit for formal filing unless a written exception is granted by the grievance liaison.~~

Step I Informal ~~Review of~~ Grievance ~~Resolution~~

During the informal stage the grievant tries to resolve the issue through discussion with the supervisor or other responsible administrator whose action is being grieved. Both the grievant and departmental personnel are urged to consult with the Office of Employee & Labor Relations for assistance in resolving the problem informally. If a grievance alleges sexual harassment, the grievant may elect to substitute the campus Sexual Harassment complaint Resolution Procedure for Step I.

Step II Formal Review of Grievance

- 1) ~~A formal grievance must be filed in writing with the grievance liaison within 30 calendar days of the date the grievant knew or could be expected to have known of the event causing the grievance. Informal review does not extend the time limit for formal filing unless a written exception is granted by the grievance liaison. Within the 30 calendar day time limit specified above, grievant may file written appeal for formal review with the grievance liaison.~~
- 2) The ~~grievant grievance~~ must ~~address include~~ the following ~~information~~:
 - a) ~~If alleging that a specific act was arbitrary or capricious, identify the specific administrative act must be identified; to be reviewed along with a description of how the act was arbitrary or capricious.~~
 - b) ~~If alleging that a violation of applicable University rules, regulations or Academic Personnel policies occurred, identify list the section and specific provision of applicable University rules, regulations, or Academic Personnel policies alleged to have been violated, if any, and how those provision were violated;~~
 - ~~b) c) The name of the person alleged to have carried out the act or violation of rules, regulations or policy~~
 - d) ~~The date of the act or violation.~~
 - e) ~~specify in what regard, if any, the administrative act was arbitrary or capricious;~~
 - d) ~~list the section and specific provision of applicable University rules, regulations, or Academic Personnel policies alleged to have been violated, if any, and how~~

~~those provision were violated;~~

- e) ~~Specify~~ How the grievant was adversely affected;
- e) f) ~~provide~~ The date of ~~any~~ attempted ~~at~~ informal resolution and identity of ~~persons~~ contacted ~~the individuals involved;~~ and
- f) g) ~~specify~~ The remedy requested.

- 3) After receiving the written ~~grievance appeal~~, the grievance liaison will ~~determine if the grievance is complete, timely, within the jurisdiction of APM-140, and contains sufficient facts to support the grievance.~~ Within 10 calendar days of receipt the grievance liaison will inform the grievant of the acceptance of the grievance.

If the grievance liaison informs the grievant that if additional information is needed, the grievant will have ten calendar days to provide the information. When the information provided by the grievant is complete, the grievance liaison will notify the grievant in writing that the formal grievance process has commenced. All further time limits are based on that date.

The grievance may be dismissed if the grievant fails to provide the requested additional information, or if the grievance is untimely or outside the jurisdiction of APM-140. If the grievance is dismissed at this stage the grievance liaison will provide the grievant with a written explanation of the basis for the dismissal.

- 4) The grievance liaison will forward the grievance immediately to the appropriate department chair or comparable authority who, after appropriate review, shall render a decision on the grievance within ~~30 15~~ calendar days and submit it in writing to the grievance liaison. The written decision should be addressed to the grievant. ~~The response must include the reasons for the decision and must also inform the grievant of the right to appeal the decision to Step III.~~
- 5) The grievance liaison will forward the decision immediately to the grievant, with copies to the respective dean and department chair.

Step III Administrative Review or Hearing

A grievance that is not resolved at Step II may be appealed for resolution at Step IIIa or Step IIIb, but not both, depending on the issues of the grievance. Matters not eligible for a hearing, such as matters involving title or salary, are handled through administrative review (Step IIIa). Only allegations of violations of certain academic personnel policies or terms and conditions of employment are subject to a hearing (see below). The grievance liaison shall determine whether Step IIIa or Step IIIb is the appropriate route to take. ~~Postdoctoral Scholars are limited to option IIIa, Administrative Review.~~

Step IIIa Administrative Review

- 1) Appeal to Step IIIa must be in writing and must be received by the grievance liaison within 15 calendar days of the date the Step II response was issued or due, whichever comes first. The appeal must specify the unresolved issues and the remedy requested.
- 2) The grievance liaison will forward the grievance to the Associate Vice Chancellor for Academic Personnel or designee for review ~~within 7 calendar days.~~
- 3) The ~~AVC~~ Associate Vice Chancellor shall provide a written decision to the grievant within 30 calendar days following receipt of the appeal to Step IIIa. ~~The decision shall include the reasons for the decision if the decision of the Step II review is rejected or modified and a statement that the decision is final.~~

Step IIIb Hearing

- 1) The appeal to Step IIIb must be received by the grievance liaison within **15 10** calendar days of the date the Step II response was issued or due, whichever comes first. The appeal must be in writing and must set forth the unsolved issues and remedy requested.
- 2) Only **appeals alleging allegations** of violations of the following may be submitted to the hearing officer ~~or the hearing committee~~:
 - Nondiscrimination (APM 035)
 - Layoff and Involuntary Reduction in Time (APM 145)
 - ~~Personnel Records/Privacy (APM 160)~~
 - ~~Holiday (APM 720)~~
 - ~~Vacation (APM 730)~~
 - ~~Sick Leave (APM 710)~~
 - Corrective Action (Censure, Suspension, Demotion)
 - Dismissal
 - ~~Reprisal~~
 - Procedural irregularity in personnel review process
- 3) **Within 7 calendar days from receipt of the written request, the grievance liaison will determine whether the appeal has identified an issue eligible for hearing consideration. If the appeal has not identified an issue eligible for a hearing consideration, the grievance liaison will inform the grievant and submit the appeal for determination under Step IIIa. If the appeal is eligible for hearing consideration the request will be forwarded to the Associate Vice Chancellor for Academic Personnel.**
- 3) 4) The grievant may elect that the grievance be heard by: **either (a) a University hearing officer (b) a University hearing committee (c) or a non-University hearing officer.** Election shall be in writing and shall be final.
- 4) ~~The AVC shall appoint the University hearing officer or University hearing committee.~~
 - (a) University Hearing Officer
The grievance liaison will maintain a current list of three to five individuals who have agreed to serve as a hearing officer. These individuals will be faculty or other non-student academic appointees who have a practical understanding of academic employer-employee relationships and academic personnel policies. The list will be made available to the grievant prior to deciding whether to select a University or non-University hearing officer. The parties will arrange alternately to strike names, and the person whose name remains will become the University hearing officer.
 - (b) Non-University Hearing Officer:
If the grievant elects a hearing before a non-University hearing officer, the grievance liaison will request from the American Arbitration Association a list of five names. Upon receipt, the parties will arrange alternately to strike names, and the person whose name remains will become the non-University hearing officer.

Whenever possible the hearing officer will be selected within 45 calendar days from receipt of the grievant's election of hearing officer and within 60 calendar days of the date of the selection of the hearing officer a hearing date will be scheduled.
- 5) In advance of the hearing, the parties shall attempt to stipulate in writing issues to be submitted for review at the hearing. If the parties cannot agree on the issues, the hearing officer ~~or hearing committee~~ shall define them.

- 6) Each party shall, upon request, provide the other with copies of material to be introduced at the hearing and names of witnesses who will testify on the party's behalf. To the extent possible, such materials and names shall be exchanged at least 10 calendar days prior to the hearing.
- 7) The hearing officer ~~or hearing committee~~ shall convene a hearing in which each party shall have the opportunity to present evidence and cross-examine witnesses. The hearing shall ~~normally~~ be closed and confidential.
- 8) The hearing shall be tape recorded unless both parties agree in advance to share the costs of a stenographic record.
- 9) The hearing officer ~~or hearing committee~~ shall provide the *AVC Associate Vice Chancellor* with a written statement of findings and recommendations within 30 calendar days of the close of the hearing.

The ~~hearing committee or~~ hearing officer shall not substitute ~~his/her their~~ judgment for the academic judgment of a peer review committee or administrative officer, nor shall ~~they the hearing officer~~ be empowered to evaluate the academic qualifications or competence of academic appointees.
- 10) The *AVC Associate Vice Chancellor* shall issue a final written decision within 30 calendar days of receipt of the findings or recommendations of the hearing ~~officer or hearing committee.~~
- 11) The *AVC Associate Vice Chancellor* shall provide to the grievant a copy of the findings and recommendations of the hearing officer ~~or hearing committee~~, and a statement of the reasons if the recommendations of the hearing officer ~~or hearing committee~~ are rejected or modified.

IV- 10
GRADUATE STUDENT RESEARCHER
(Revised 05/10)

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% *in the Graduate Student Fee Remission system (GSFR)*; 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% *in GSFR*.

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 *in GSFR*, 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

VI-17
OTHER ADDITIONAL COMPENSATION
(Revised 05/10)

I. Summer Session teaching
Reference: APM 661-14

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

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

The DOS code SST is used for individuals who are only employed with Summer Session. This is not considered additional compensation

II. University Extension and Off-Campus Studies teaching
Reference: APM 662, appendix B-2

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

The DOS code ACX is used for individuals who only teach through Extension or Off-Campus Studies. This is not considered additional compensation.

III. Faculty consultant services
Reference: APM 664

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

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

The payment is made as a flat dollar amount using the DOS code of FCA.

IV. Administrative stipends, fellowships or other University awards

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

These types of additional compensation may be in terms of 1/9th or may be a flat dollar amount that is to be paid. Payments can be either sub 0 or sub 2 and the DOS code will be ACM (Regents' Jr. Faculty Award). There must be prior notification that the individual has received the fellowship or award, and the method through which the payment will be made.

V. Department Chair stipends

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

VI-2
Sabbatical Leave (APM 740)
(Revised 05/10)

Please refer to APM 740 for statement of purpose, definition, concepts, types, qualifying service, exceptions, eligibility, restrictions, compensation, and special appendices. Sabbatical leaves are granted to enable recipients to be engaged in intensive programs of research and/or study, thus to become more effective teachers and scholars and to enhance their services to the University. There are two types of sabbatical leave:

- a) Regular sabbatical leave is leave from all regular duties to enable the individual to devote full-time to research and/or study. 9 sabbatical leave credits are required for each quarter of regular sabbatical leave at full salary. 6 sabbatical leave credits are required for each quarter of regular sabbatical leave at 2/3 salary.
- b) In Residence sabbatical leave is leave during which the faculty member 1) is in physical residence during the quarter(s) and 2) teaches a regularly scheduled class that meets at least three hours per week (this requirement is not fulfilled by a 599 class taught to ones own doctoral/ masters students). In exceptional cases significant University service may be substituted for all or part of the instructional requirement. *Service must be at the campus or University-wide level and must require a time commitment of equivalent to teaching a regularly scheduled class as described above.* Such exceptions require prior approval by the Associate Vice Chancellor for Academic Personnel. 6 sabbatical leave credits are required for each quarter of in residence sabbatical at full salary.

Credit toward eligibility to apply for sabbatical leave is earned through service in the University during each quarter of half-time or more in a ladder rank faculty title. Credit is earned during service as an Acting or Visiting ladder rank faculty if the service is immediately followed by service in the regular ladder rank title. Refer to APM 740-11 for information concerning service in other academic series, fiscal year appointments or periods during which credit does not accrue. Note that deferral of sabbatical leave credits is automatic and no maximum accrual amount is imposed at UCSB.

A faculty member is required to return to University service immediately following a sabbatical leave for a period of time at least equal to the period of the leave. Failure to return to regular service will create an obligation on the part of the faculty member to refund the entire salary received during the leave to the University. APM 740-16 to 740-19 discusses other restrictions and limitations of sabbatical leaves

- A. Applications for sabbatical leave shall be submitted to the appropriate Dean via the Department Chairperson. The application shall include:
 1. A statement providing information outlined in APM 740-94.
 2. A memo from the Chair endorsing the leave (Red Binder VI-1, V)
 3. A statement providing the number of credits to be used to support the leave and the balance remaining after the leave.
 4. A list of other faculty with approved leaves.

If five or more years have passed since the last academic advancement the request must also include:

1. An updated bio-bibliography
 2. Copies of reports from any sabbatical leaves taken since the last advancement.
- B. The application must be initiated no later than three months prior to the begin date of the pay period of the proposed leave. The department will receive a copy of the approval letter sent to the

faculty member as notification of approval of the leave. No later than 30 days prior to the pay period of the proposed leave, the information should be entered into the payroll system.

- C. Within ninety calendar days following return from leave, the recipient of a sabbatical leave shall submit to the Associate Vice Chancellor for Academic Personnel a report of the results of the leave. Information to be included in this report is contained in APM 740-97 and includes:
1. Account of activities during the leave, including travel itineraries, institutions and locations visited, persons with whom there was extensive consultation or collaboration, and any formal lectures delivered.
 2. Statement of progress made on the project as proposed in the application.
 3. Explanation of any significant changes made in the project.
 4. Appraisal of the relationship between the results anticipated in the leave project statement and those actually achieved.
 5. Statement of future activity related to the project, including plans for completion of the project and publication of results.

The report will become a part of the supporting materials submitted with any proposal for subsequent promotion or merit increase.

VI-7
OTHER LEAVES
(Revised 10/01)

- A. An academic appointee may be granted a leave with or without pay to attend a professional meeting or for University business. If the leave is for seven calendar days or less, APM 752 applies and the Department Chairperson has authority. If the leave is without pay, the leave must be entered into the payroll system.
- B. Leaves of 8 or more calendar days are covered by APM 758 and 759. Applications for such leave are made by written statement from the faculty member and endorsement by the Department Chair. Leaves of more than 30 calendar days must be entered into the payroll system.
- C. Faculty may be granted up to a one-year leave of absence without salary for professional development or personal reasons upon approval of the appropriate Dean.
- D. Extension of a leave of absence beyond one year, whether with or without pay is not automatic and is granted only when there is a clear benefit to the campus. If a faculty member accepts an academic or professional position elsewhere, the presumption is that additional leave will not be granted. Leaves that extend beyond one year require approval of the Associate Vice Chancellor for Academic Personnel.
- E. *Lecturers in the SOE series are eligible for "Educational Leave". Leave credit will accrue at the rate of one credit per quarter of service at 50% time or more in a qualifying title. Nine credits will be required to support one full quarter of leave. A return to University service, equal to the time period of the leave, will be required. Failure to return to service will create an obligation on the part of the lecturer to refund the entire salary received during the leave. The process to apply for a leave as well as reporting requirements will be the same as for ladder faculty sabbatical leaves (Red Binder VI-2)*

VIII-10
PRESIDENT'S POSTDOCTORAL FELLOWSHIP PROGRAM
(Revised 05/10)

The President's Postdoctoral Fellowship Program is intended to encourage outstanding candidates who are committed to careers in research, teaching, and service that will enhance the diversity of the academic community at the University of California. Complete information about the program is available at <http://www.ucop.edu/acadadv/ppfp/>

Eligibility: Applicants not already holding tenure-rank appointments and applicants who have not already had significant postdoctoral experience will be preferred. For fellowships in the Humanities, Arts and Social Sciences, the program is particularly interested in research which considers issues such as race, ethnicity and gender as they relate to traditional academic fields. For fellowships in Physical Sciences and Engineering, the program will prefer individuals who have participated in teaching, mentoring or outreach programs that promote educational opportunities for under-represented students in higher education.

Evaluation Criteria: Candidates will be evaluated based on the record of scholarship and service and the extent to which these will contribute to the diversity of the University. Special consideration will be given to applicants who demonstrated significant academic achievement by overcoming hardships such as economic, social or educational disadvantage.

Administration: The application and selection processes are administered by the Office of the President. Funding for the Fellowships is provided to the campus by the Office of the President.

Compensation: Fellows will be given awards in combination of stipend and/or research and travel funds. The stipend will be made through the payroll system with appointment as **Visiting** ~~(-) Postdoc, title code 3370.~~ *Postdoctoral Scholar, Employee, title code 3252.* Appointments are made for one academic year, with the possibility of renewal for a second year.

VIII-7
FACULTY FELLOWS
(Revised 11/03)

The purpose of the Faculty Fellows Program is to provide recent UC Ph.D.'s valuable experience and mentored training in teaching and research. An appointee will have at least one faculty mentor for teaching activities and at least one faculty mentor for research activities. An appointee may have the same faculty mentor for both teaching and research.

An annual call is issued during fall quarter for submission of applications.

Eligibility: Applicants should have completed their Ph.D. or other terminal degree at any UC campus within six months of the beginning of the Faculty Fellow appointment.

Evaluation Criteria: Awards will be made to candidates who show promise of excellence in both teaching and research. An individual must begin the appointment within six months of completing the Ph.D. at any UC campus. The Chancellor or designee may grant exceptions to the six-month limitation.

All candidates must show promise for excellence in teaching and research.

Administration: Applications are submitted via the Chair of the UCSB Department in which the Fellow will reside to the appropriate Dean, who will comment on the quality of the proposed courses and research project, their potential contribution to the Department, and the importance of the Fellowship to the applicant's career development. The completed packet will be submitted to the Associate Vice Chancellor for Academic Personnel.

Compensation and limitations: Each Faculty Fellow will hold a 100% academic year appointment split between the titles of Lecturer and Faculty Fellow Researcher with a minimum teaching obligation of 50%. Appointments will be up to one academic year, renewable for an additional year.

The teaching load and other conditions of employment for the Lecturer title must follow the provisions of the MOU between UC and the American Federation of Teachers. The provisions for Lecturers on merit increases also apply to the Faculty Fellow Researcher appointment.

The Faculty Fellow Researcher is an academic-year appointment which is paid on a salary range established by the Office of the President. The title codes for the Researcher part of the Faculty Fellow appointment are:

- 3237 Faculty Fellow Researcher - Academic Year
- 3238 Faculty Fellow Researcher - Academic Year - 1/9

VIII-8
DISTINGUISHED FACULTY
(revised 5/10)

The Distinguished Faculty program is designed to provide departments with the opportunity to bring outstanding, renowned faculty for to UCSB for permanent, part- time appointments.

Eligibility: Distinguished Faculty appointments will be reserved for scholars, artists or performers of exceptional distinction. Any person nominated for these positions must be at a level of distinction and accomplishment consistent with appointment at the Above Scale professorial level.

Note: No new appointments are being made into this program. Policy is for existing appointees only

Type of Support: Each position will be funded at the level of .33 FTE from state funds.

Evaluation Criteria and Administration: Departments wishing to appoint a Distinguished Faculty member must first submit a nomination, via the Dean, to the Distinguished Faculty Committee. Along with an analysis of the qualifications of the individual, the nomination should address the anticipated manner in which the appointment will contribute to specific academic programs, as well as to the intellectual life of the campus at large. Upon approval of the Executive Vice Chancellor, the department will be instructed to submit an appointment case following procedures in Red Binder, Section I. When soliciting outside letters of recommendation the department must use the Above Scale solicitation letter (Red Binder I-53). The second paragraph of the letter may be modified to include the following wording:

The prospective Professor Above Scale appointment of Dr. ____, is being made as a result of a special initiative on distinguished professorships developed at UCSB. This initiative allows us to add extraordinarily distinguished faculty to our campus on a permanent, albeit part-time basis (i.e., one quarter per year) without jeopardizing their position at their home institution. Professor _____ has agreed to be considered for this appointment. Insofar as the position carries tenure, we must follow the University of California process for senior tenured appointments. Consequently, I am requesting that you serve as a referee for Professor _____ by writing a letter of evaluation pertinent to _____ [his/her] case and the level of his appointment.