

Summary of changes

I-4 Mandatory 5 year reviews

Clarifies administrative appointees who are exempt.

I-14 Transfer of faculty FTE

Clarifies that department votes are required for FTE transfers.

I-15 Documents to be submitted with appointments

Delete reference to cases being submitted on paper; all done electronically. Change of title of Affirmative Action paperwork

I-16 Appointment Form

Delete; all cases done on line, this is now an upload screen

I-22 Candidate right to make comment

Change in process: comments in a case sent directly to the Dean will not be returned to the department for comment.

I-26 Faculty Safeguard Statement

Clarification of meaning of “confidential documents.” Comments in a case sent directly to the Dean will not be returned to the department for comment. Option of requesting reviewer reports be provided at end of the review added.

I-31, I-34 Documents to be submitted in advancement cases

Remove references to I-45 form which is being deleted.

I-45 Advancement Review Form

Delete; all cases done on line, this is now an upload screen

I-67 Evaluation of Administrative Service

Section now only covers evaluation of administrative service in the review period. Other information related to administrators is in new section V.

I-68 Duties of Department Chairs

Delete. Information is moving to new section V.

I-75 Appointment and Advancement

Clarification of wording related to ‘counting’ of publications in a case.

II-12 Checklist for Non-Senate Faculty appointments

Change of title of Affirmative Action paperwork

II-14 Documents to be submitted in Excellence Reviews or merits

Remove references to I-15 form which is being deleted.

II-15 Continuing Appointment Review Form

Delete; all cases done on line, this is now an upload screen

II-16 Non-Senate Faculty Safeguard Statement

Clarification of meaning of “confidential documents.” Option of requesting reviewer reports be provided at end of the review added.

II-18 Teacher Special Programs

New section

II-25 Documents to be submitted in Continuing Educator reviews

Change of title of Affirmative Action paperwork

III-1 Other Academic Titles, general information

Change of other Red Binder section references

III-3 Temporary Academic Research Appointment form letter

Clarification that form is for use with research titles only. Change of title of Affirmative Action paperwork and exception requirements.

III-4 Research Title Review Form

Clarification that increase in or addition of off-scale is an accelerated action

III-5 Safeguard Statement for Research titles

Clarification of meaning of “confidential documents.” Comments in a case sent directly to the Dean will not be returned to the department for comment.

III-7 Documents to be submitted in Research appointments

Change of title of Affirmative Action paperwork

III-8 Types of Research Reviews

Clarification that increase in or addition of off-scale is an accelerated action

III-9 Documents to be submitted in Researcher reviews

Change of requirement on safeguard statement based on changes to that form

III-14 Project Scientist Compensation

Addition of policy concerning use of Engineering scale in certain non-Engineering units to be consistent with policy already in place for Research series titles.

III-18 Postdoctoral Scholars

Remove reference to grandfathered Postgraduate Researchers. Title has been eliminated.

IV-3 Associate Appointments

Clarifies time to degree requirements for appointment

IV-6 Teaching Assistant Appointments

Clarifies time to degree requirements for appointment

VI-3 Sick leave

Update of list of titles eligible to accrue sick leave

VI-14 Extramurally Funded Additional Compensation

Clarification of summer compensation payment methodology

VI-17 Other Additional Compensation

Addition of information and clarification of various types of additional compensation

V; new section, old section V moved to section VII

V-1 Academic Coordinators

Moved from section III-25

V-2 Documents to be Submitted with Academic Coordinator Appointments

Moved from section III-26. Change of title of Affirmative Action paperwork

V-6 Curator

Moved from section III-28

New sections

V-10 Assistant and Associate University Librarians

V-11 Assistant and Associate University Librarians checklist for review

V-15 Librarians

V-25 Faculty Administrators

V-28 Deans and 100% time Faculty Administrators

V-31 Faculty Administrators at less than 100% time

V-34 Other Administrative Appointments

VII; was old section V. Old section VII moved to IX

Major revisions to all sections including requirements, policy, procedure and forms

VII-1 Policies for Open Recruitment

Moved from V-1.

VII-4 Recruitment Procedures for Ladder Faculty and other Permanent Academics

Moved from V-4.

VII-5 Recruitment Procedures for Temporary Academic Positions

Moved from V05

VII-7 Supplemental Information on Advertising Positions

Moved from V-6

VII-9 Academic Recruitment Packet

New. Replaces prior forms including Recruitment Plan, Summaries A & B

VII-12 UC Non-Discrimination Statement

Moved from V-26

Delete

V-11 Sample Recruitment Report

V-13 Recruitment Plan for Academic Vacancies

V-15 Academic Advertising Form

V-16 Instructions for Advertising Form

V-19 Applicant Evaluation Form

V-20 Summary A

V-23 Summary B

Section IX; new section, was VII

IX-1 Access to Records

Was VII-1

IX-3 through 9 Links to various policies

Was VII-3 through 9

IX-11 Employment of Near Relatives

Was VII-11

IX-13 Policy on Conflict of Interest and Graduate Education

Was VII-13

IX-15 Information Practices Guidelines

Was I-62

IX-17 Access Policy for Materials in a Review File

Was I-66

IX-18 Records Retention

Was V-27. Additional information regarding retention periods added

IX-20 Procedures for Non-Senate Academic Employees Corrective Action and Dismissal

Was III-30

IX-25 Procedures for Non-Senate Academic Grievances

Was III-35

IX-30 Procedures for Layoff and Involuntary Reduction in Time for Non-Senate

Was III-38

I-4
ELIGIBILITY, DEFERRAL AND MANDATORY REVIEW
(Revised ~~09/09~~ 09/10)

I. Service Credit

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

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

II. Regular Ranks, Steps, Normal Periods Of Service

The Assistant Professor Rank contains steps I-VI, although steps I and VI are not used at UCSB. The Associate Professor Rank contains steps I-V, although step V is not used at UCSB. The normal time of service at each step within the Assistant and Associate rank is 2 years, except for service at the special steps of Assistant Professor V and Associate Professor IV (Red Binder I-37). The Professor rank contains steps I-IX as well as Above Scale. Normal service at steps I-IV is 3 years. Service at step V and above may be for an indefinite time; however, normal service is 3 years at steps V through VIII and 4 years at step IX or Above Scale. Eligibility for normal advancement occurs after the normal time of service at each step. If not advanced in step at that time, the candidate will continue to be eligible each year until advancement in step occurs.

III. Advancement Effective Dates

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

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

IV. Mandatory Five-Year Reviews

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

Faculty holding 100% administrative positions *in the SMG program or covered by APM 240 or APM 246* are exempt from mandatory five-year reviews since they face a separate review policy.

V. Deferral Of Review

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

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

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

I-14
FACULTY APPOINTMENTS
(Revised 09/ 09)

Faculty appointments may be made in academic departments or in programs. At UCSB, the term "program" is used not only in reference to those sequences of courses leading to degrees but also to those academic/ administrative units that have not yet attained departmental status but "from which academic appointments and promotions are recommended to administrative officers" (Bylaw 55 of the Academic Senate). As such, the provisions of Bylaw 55 shall apply:
<http://www.universityofcalifornia.edu/senate/manual/blpart1.html#bl55>

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

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

I. Types Of Appointments

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

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

3. Affiliated faculty status

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

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

recommendation of a majority of the voting members of the department or program.

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

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

4. Other "Professor" titles

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

II. Appointment Criteria

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

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

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

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

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

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

III. Letter To Prospective Ladder Appointees

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

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

I am happy to inform you that our Department of _____ intends to recommend you for appointment as _____ at a salary of _____, effective July 1, _____. As you know, appointments in the University of California are only made by the Chancellor of the campus after careful review of the departmental recommendation by the Chancellor, in consultation with reviewing agencies, including the dean of the College and the campus Committee on Academic Personnel, as necessary. Approval of departmental recommendations is not automatic, and departmental recommendations do not constitute actual offers. Following the review process, actual offers of appointment are extended by the Executive Vice Chancellor, Chancellor or Regents as appropriate.

IV. AAU Deadlines

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

V. Offer Deadlines

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

VI. Other Deadlines

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

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

I-15
DOCUMENTS TO BE SUBMITTED BY THE CHAIR
APPOINTMENTS
(Revised ~~09-09~~ 09/10)

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

I. **Departmental letter of recommendation**

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

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

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

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

Extramural Letters

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

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

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

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

- ☐ Do the codes on the letters match the codes on the list and the codes used in the departmental letter?
- ☐ Does the list clearly indicate if the referees were candidate, department or jointly selected?

- ☐ Are the names of everyone who was asked to write included? For those who did not respond is a reason for no response listed?

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

- ☐ Is the CV up to date?
☐ Is the Academic biography form complete, signed and dated?

IV. **Copies of publications**

- ☐ Has a representative sampling of publications been submitted?

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

- ☐ Have all start-up issues been addressed?

VI. **~~Affirmative Action Summary- Recruitment Packet~~** (original only)

- ☐ Has the **Academic Recruitment Packet (Red Binder VII-9)-"Summary A" form** been completed and signed?

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

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

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

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

Delete- done on line as upload page

I-16

ACADEMIC PERSONNEL APPOINTMENT FORM

For ladder faculty and Lecturer SOE series

Informational only- all cases are to be submitted on line

(04/ 09)

Name _____

Department _____

PRESENT STATUS

PROPOSED STATUS

Institution _____

Rank and Step _____

Current Title _____

Proposed Salary _____

Current Salary _____

O/ S Supplement _____

Effective Date _____

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

Statement of voting method and comments on the vote:

Check all documents to be submitted.

For all Appointments:

___ Departmental letter of recommendation

___ Current CV or bio-bibliography

___ Chair's confidential letter (optional)

___ Minority Opinion letter (optional)

___ Redacted Minority Opinion letter

___ UCSB Biography form

___ Extramural Letters

total # of letters included ____; # suggested by department _____

___ Sample Solicitation Letter

___ List of items sent to reviewers

___ Copy of any of these items not otherwise included in the case

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

Submit as hard copy:

___ Copies of publications

___ Start-up commitment requests

___ Other one-of-a-kind items

I-22
DEPARTMENTAL CHECKLIST FOR ACADEMIC ADVANCEMENT
(Revised ~~04-06~~ 09/10)

This checklist is for the use of the Department Chair, and should not be submitted with the case.

The Department Chair has the responsibility to see that each of the following steps is completed at the appropriate time during any personnel review. **A copy of this checklist must be given to the candidate at the beginning of his or her review.**

All documents included in the case must be relevant to the action under consideration (APM 200-30) and must be in compliance with University and Campus policy and practice relating to confidentiality.

I. Notifying The Candidate

Note: These steps should be taken as soon as possible after receipt of the eligibility list in which the candidate's name first appears.

- _____ 1) **Inform the candidate of his or her eligibility for advancement or appraisal.**
- _____ 2) **Inform the candidate of the UC criteria for advancement** as set forth in Section 210-1d and 220 of the APM. Include a full clarification of the concrete nature of materials relevant to those criteria, as commonly used in the candidate's department.
- _____ 3) **Inform the candidate of the UC review process** as set forth in APM 210-1d and 220. Include in your description both the role and character of higher reviewing agencies and the department's own customary modes of proceeding. Provide candidate with a copy of the Procedural Safeguard Statement.
- _____ 4) **Inform the candidate of UC policy regarding academic personnel records** as set forth in APM 160.
- _____ 5) **Inform the candidate of any other issues relevant to his/her personnel case.** Be sure to provide an opportunity for the candidate to ask questions regarding any aspect of the review procedures and of his/ her case in particular.
- _____ 6) **Inform the candidate of the due date** for all pertinent information and material relevant to the criteria for advancement. Be sure to advise the candidate of the consequences of late submission of materials.
- _____ 7) **Inform the candidate if letters of evaluation are to be sought in his/her case and provide an opportunity for the candidate a) to suggest names of persons who might be solicited for such letters and b) to indicate in writing the names of persons who, for reasons set forth by the candidate (which may include personal reasons), might not be objective in their evaluation.** Also inform the candidate that the names of scholars writing outside letters who were originally suggested by the candidate, together with any requests not to select a potential evaluator, will be made part of the review file, and that a reasonable request for exclusion of outside evaluators will in no way jeopardize the candidate's case. The candidate should also understand that though such requests are made and honored regularly, there may be occasions when proper evaluation requires that they not be honored. Finally, the candidate should know that both the evaluator's academic stature and the extent, if any, of his/ her association with the candidate (personal or professional) will affect how the evaluation is weighted.

- _____ 8) **In compiling the list of outside reviewers**, include a "reasonable number" (APM 220-80c) of the candidate's nominees, together with a "reasonable number" of letters from scholars who are not nominated by the candidate and who have not been closely associated with him/ her either as colleagues, friends, or collaborators in research. At UCSB, a "reasonable number" is interpreted to mean "half of the letters". There should be adequate representation among the evaluators of University of California faculty members.

II. Developing The Recommendation

- _____ 9) **Solicit confidential extramural letters of evaluation** in cases of promotion to tenure, promotion to professor, merit from Professor V to VI, merit from Professor IX to Above Scale, advancement to Supervisor V and advancement to Lecturer SOE or Sr. Lecturer SOE.
- _____ 10) **Include with the case a sample copy of the letter used to solicit extramural letters**, a list of the materials sent to the letter writers, and a copy of all items that were sent to the referees (e.g., C.V., bibliography, reprints, manuscripts, and so forth) if they are not already included with the case of one-of-a-kind materials.
- _____ 11) **Assemble all pertinent information** (publications, teaching evaluations, solicited letters, etc.) in accordance with instructions set forth in the Red Binder sections related to specific actions. Be sure to include the total record of accomplishments appropriate to the review period.
- _____ 12) **Provide the candidate with an opportunity to inspect all non-confidential documents included in the review file.** Candidates should be told that they have access to non-confidential material.
- _____ 13) **Provide the candidate with the opportunity to request a redacted copy of all confidential letters and documents included in the file without revealing the identity of the sources.** One set of the redacted material must also be included in the file.
- _____ 14) **Provide the candidate with an opportunity to include a written statement responding to or commenting upon material in the file.** This should be done in sufficient time to allow the candidate's response to be taken into account in the departmental letter.
- _____ 15) **Inform the candidate that, if at any later point new information is added to the file, he/she will be informed and given an opportunity to comment.**
- _____ 16) If an ad hoc review committee will be employed, explain the role and selection of this committee and the candidate's three options (Red Binder I-60).
- _____ 17) **Inform the candidate of his/her right to request a redaction of the ad hoc committee's letter and a copy of other reviewing agencies' reports** from the office of Academic Personnel at the conclusion of the review process.
- _____ 18) **Consult colleagues in accordance with departmental practice and the rules of voting rights and eligibility established in By-Law 55.**
(<http://www.universityofcalifornia.edu/senate/manual/blpart1.html#bl55>)
- _____ 19) **Write a letter of recommendation** in accordance with APM 220-80-e. Note in particular the requirement to present both supporting and opposing views. Be sure the letter is dated and signed.

- _____ 20) **Make the letter available for inspection by all departmental members eligible to vote on the case** or by a departmental committee or group established in accordance with APM 220-80-e. At this point any eligible faculty member who voted with the minority may include a "minority opinion" letter if they feel that the Departmental letter does not adequately address the opinion of the minority vote. A minority opinion letter must be submitted by the end of the inspection period to assure its consideration in the review process. All eligible faculty must be provided full access to this document. Any unresolved issues between the minority and majority opinions should be addressed in a Chair's confidential letter (Red Binder I-35)

III. Forwarding The Case

NOTE: These steps should be taken after the Departmental review of the case.

- _____ 21) **Inform the candidate orally or, if requested, in writing of the departmental recommendation, the departmental vote, and of the substance of the evaluations under each of the applicable review criteria.** Bear in mind that it is especially helpful for junior faculty to understand concerns regarding some particular aspect of their performance even if there was a strong vote of approval. **If a written document is provided to the candidate, a copy must also be included in the review file.**
- _____ 22) **Inform the candidate of his/her right to request a copy of the letter setting forth the departmental recommendation, including any minority opinions.** Identities of persons who were the sources of confidential documents are not to be disclosed and minority opinion letters should be provided in redacted format.
- _____ 23) **Inform the candidate of his/her right to make written comments, within 5 working days, to the Chair or directly to the Dean regarding the departmental recommendation.** A copy of these comments will be included in the file. *If the comments are directed to the Chair, they will be made available for review by the voting faculty.* ~~Dean, the department normally will be provided with a copy of the comments. The comments will not be provided to the department without the knowledge of the candidate.~~ Any unresolved issues between the candidate and the department evaluation should be addressed in a Chair's confidential letter (Red Binder I-35). *If the comments are directed to the Dean, they will be included in the file at the time of the Dean's review and will be made available to other reviewing agencies but not to the department.*
- _____ 24) **Check that the case, as packaged, is complete and properly formatted** (Red Binder I-31 for routine merits, Red Binder I-35 for non-routine advancements).
- _____ 25) **Have the candidate fill out and sign the Procedural Safeguard Statement.** Include the signed Safeguard Statement in the file and forward the case to the appropriate Dean's office.
- _____ 26) For promotions to tenure, a Chair's Recommendation for Department Representative memo suggesting up to three faculty members who are eligible to serve as departmental representative. The nominated faculty should: (1) have participated in the departmental review and voted on the case; (2) have familiarity with the research area of the candidate; and (3) be in residence during the quarter the case is likely to be considered. This memo is to be forwarded directly to the Associate Vice Chancellor of Academic Personnel and marked "Confidential." See Red Binder I-60 for sample memo format.

LADDER RANK FACULTY ADVANCEMENT: PROCEDURAL SAFEGUARD STATEMENT

Informational only: all safeguards are to be completed on line

(Revised ~~02/10~~ 09/10)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 (*i.e. external letters, minority opinion reports*) in my department review file and of my right to review a summary of any such documents.

☐

Yes, there are confidential documents in my file (proceed to #7)

☐

No, there are not any confidential documents in my file (proceed to #8)

7. *If yes to #6*, 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.

☐

A. Copy of Departmental Recommendation

☐

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 and made available to other voting faculty in the department.
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 and available to other reviewing agencies outside of the Department. I understand that the department may be provided with such comments and be given an opportunity to respond.

I HAVE SUBMITTED THE FOLLOWING ADDITIONAL 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 request concerning formation of a Senate ad hoc committee 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.)

REVIEWING AGENCY REPORTS

☐

I request that copies of reviewing agency reports (Dean, CAP, ad hoc committee and any correspondence between them) be provided to me after the conclusion of my review

☐

I do not wish to receive copies of reviewing agency reports (Dean, CAP, ad hoc committee and any correspondence between them at the conclusion of my review, but understand that I may request them at any time in the future

SIGNED _____ DATED _____

PRINT NAME _____ DEPARTMENT _____

I-31
DOCUMENTS TO BE SUBMITTED BY THE CHAIR
ROUTINE MERITS
(Revised 09/08 09/10)

I. **Academic Personnel Review Form** (see Red Binder I-45)

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

II. I. **Departmental Letter**

The Chair should provide a **concise** description of the most significant developments since the last review in each of the review areas. Any criticisms or reservations should also be noted. The letter should be brief; normally one to two pages long. See Red Binder I-75 for further discussion of evaluation of four areas of review.

- ☐ Is the letter signed and dated?
- ☐ Is the letter an accurate, concise and **analytical** representation of the case?
- ☐ Are all four areas of review covered: teaching, research, professional activity and university and public service?
- ☐ Are contributions to diversity and equal opportunity given recognition?

III. II. **Chair's Separate Confidential Letter**

See Red Binder I-35 for further information.

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

IV. III. **Safeguard Statement.**

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

- ☐ Is it signed and dated?
- ☐ If the faculty member is in multiple departments, is a safeguard statement included for each department?
- ☐ If there are no confidential documents (e.g. external letters, minority opinion letter), **box 7.D, the appropriate box under #6** should be checked.
- ☐ Are copies of everything the candidate has provided, or been provided, included with the case?

V. IV. **Bio-bibliographical Update**, following format in Red Binder I-28.

- ☐ Is it in the proper format?
- ☐ Is the Research section a **cumulative** list of publications (or creative activities) with a line drawn separating all new items from where the bio-bib from the last review case had ended?
- ☐ Are the numbers the same as in the previously submitted bio-bib, and have items previously listed as "In Press", "Submitted" been accounted for?
- ☐ Are all items, including "In Press", "Submitted", and "In Progress" properly numbered?
- ☐ Are all teaching evaluations listed as available in the Teaching section of the bio-bib included with the case?

- ☐ If sections other than Research are cumulative, are lines drawn showing what is new since the last successful review?

VI. V. Evaluation of the teaching record.

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

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

VII. VI. Sabbatical leave reports.

- ☐ If any sabbatical leaves have been taken during the review period (check the candidate's personnel file to verify) has a copy of the report been included with the case?

VIII. VII. Outside Activity Reports (APM 025 Appendix C)

- ☐ Is a copy of the report for each academic year within the current review period included?
- ☐ Is the academic year clearly indicated?
- ☐ Is the form signed by the candidate and by the Department Chair(s)?

IX. VIII. Copies of publications.

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

- ☐ Have all items included in Part I of the bio-bib for the current review period been submitted, including In Press and Submitted items?
- ☐ Do all of the titles on the actual publications match those listed on the bio-bib?
- ☐ If any publications are missing from the file, is a note included noting which are missing and explaining why?

I-34
DOCUMENTS TO BE SUBMITTED BY THE CHAIR
NON-ROUTINE CASES
(Revised 09/08 09/10)

~~I. Academic Personnel Review Form (see Red Binder I-45)~~

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

~~II. I.~~ **Departmental letter of recommendation**

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

- ☐ Is the letter signed and dated?
- ☐ Is the letter an accurate, extensive, and **analytical** representation of the case?
- ☐ If there is a recommendation for an acceleration, are the reasons for the acceleration specifically stated?
- ☐ In the case of a negative departmental recommendation, is the basis of the recommendation clearly documented?
- ☐ If the case contains extramural letters, are letter writers identified **only** by coded list, with no identifying statements?
- ☐ If the case is for a career review, does the letter provide an overview of the career accomplishments as well as analysis of the achievements within the most recent review period?
- ☐ Are all four areas of review covered: teaching, research, professional activity and university and public service?
- ☐ Are contributions to diversity and equal opportunity given recognition?

~~III. II.~~ **Chair's Separate Confidential Letter**

See Red Binder I-35 for further information.

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

~~IV. III.~~ **Safeguard Statement.**

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

- ☐ Is it signed and dated?
- ☐ If the faculty member is in multiple departments, is a safeguard statement included for each department?
- ☐ If there are no confidential documents (e.g. external letters, minority opinion report), **box 7.D. the appropriate box under #6** should be checked.
- ☐ Are copies of everything the candidate has provided, or been provided, included with the case (e.g. redacted letters, list of potential evaluators)?

~~V.~~ /V. Bio-bibliographical Update, following format in Red Binder I-28.

- ☐ Is it in the proper format?
- ☐ Is the Research section a **cumulative** list of publications (or creative activities) with a line drawn separating all new items from where the bio-bib from the last review case had ended?
- ☐ Are the numbers the same as in the previously submitted bio-bib, and have items previously listed as "In Press", "Submitted" been accounted for?
- ☐ Are all items, including "In Press", "Submitted", and "In Progress" properly numbered?
- ☐ Are all teaching evaluations listed as available in the Teaching section of the bio-bib included with the case?
- ☐ If sections other than Research are cumulative, are lines drawn showing what is new since the last successful review?

~~VI.~~ /V. Extramural letters of evaluation and list of evaluators in cases where extramural letters are required; promotion, merit to Professor Step VI, merit to Professor Above Scale. (Red Binder I-49)
Extramural Letters

- ☐ Are there at least 6 letters, including letters from UC or UC familiar referees?
- ☐ Are at least half of the letters from references chosen by the Chair/Dept independent of the candidate?
- ☐ Have all letters been coded? Are the codes also on the copies and the redacted versions?
- ☐ If the letters were sent via email, is a copy of the email and any attachment included?
- ☐ If redacted copies of the letters were provided to the candidate, is a copy included (one copy only), and did he/she check box 7A on the Procedural Safeguards Statement?

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

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

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

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

~~VII.~~ /V. Evaluation of the teaching record.

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

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

~~VIII.~~ /VII. Sabbatical leave reports.

- ☐ If any sabbatical leaves have been taken during the review period (check the candidate's personnel file to verify) has a copy of the report been included with the case?

~~IX.~~ /VIII. Outside Activity Reports (APM 025 Appendix C)

- ☐ Is a copy of the report for each academic year within the current review period included?
- ☐ Is the academic year clearly indicated?
- ☐ Is the form signed by the candidate and by the Department Chair(s)?

~~XI.~~ IX. Copies of publications.

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

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

~~XI.~~ X. Department Representative Nomination (see RB I-60)

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

Delete- on line now

I-45

ACADEMIC PERSONNEL REVIEW FORM

For ladder faculty and Lecturer SOE series
Informational only- all cases are to be submitted on line

(Revised 02/ 10)

Name _____

Department _____

PRESENT STATUS

Rank and Step _____

Current Salary _____

O/ S Supplement _____

Years at Rank _____

Years at Step _____

Years since last Advancement if different _____

PROPOSED STATUS

Rank and Step _____

Proposed Salary _____

O/ S Supplement _____

Effective Date _____

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: _____

_____ 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)

_____ Deceleration in time of any of the above

NON-ROUTINE: _____

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

_____ No Change

_____ Career Equity Review

_____ Retention

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)

ACADEMIC ADMINISTRATORS
EVALUATION OF ADMINISTRATIVE SERVICE
 (Revised 04-09 09/10)

Evaluating the service of Academic Administrators

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

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

In assessing the merits of an administrator it will be necessary to follow the regular procedures of review. However a special effort should be made to assure that Administrators are not passed over. The advice of other administrative officers, individuals outside of the department, and reviewing agencies will be particularly important in such cases. After an administrator leaves the position, his/ her further advancements in salary or rank should be judged by the regular criteria

Appointment and terms of service

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

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

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

DUTIES OF DEPARTMENT CHAIRPERSONS

(Revised 01/ 06)

The Chairperson of a Department of instruction and research is its leader and administrative head. Appointment is made by the Chancellor, to whom the Chairperson is responsible through the Dean of the school, college, or division. As such, the duties of the Chairperson are as outlined in APM 245, appendix A: [http:// www.ucop.edu/ acadadv/ acadpers/ apm/ apm-245.pdf](http://www.ucop.edu/acadadv/acadpers/apm/apm-245.pdf)

In addition, the Chairperson's administrative duties include the supervision of the Non-Senate Instructional Unit (Unit 18) and to participate in and assist in carrying out the policies and administrative decisions required for implementation of the Unit 18 Memorandum of Understanding.

University policy specifies that faculty participate in the selection of Chairs of departments (APM- 015, I 4 (d)). At UCSB this consultation is carried out by the Dean prior to his or her recommendation to the Executive Vice Chancellor and the Chancellor.

As part of this consultation, in the event of a vacancy or anticipated vacancy in the Chair of any department, the Dean will officially inform the department of the circumstances and request that it determine whether or not it wishes to conduct a departmental vote. The department may conduct such a vote in any manner that it deems proper, provided that it does not abrogate any faculty member's right to express a private position on the matter directly to the Dean or the Vice Chancellor, should any member wish to do so. The Dean and Vice Chancellor will duly consider the results of any such vote and any such private communication in determining their recommendations on the appointment of the new Chairperson.

It is customary University practice that most Departmental Chairs serve terms of from three to five years. The replacement of a Chair before the completion of this normal term can be initiated by the Chancellor, the Dean or the department; the department, on its own initiative, by making a recommendation to the Dean that a change be considered; the Chancellor or the Dean through wide and timely consultation with the tenured faculty of the department.

APPOINTMENT AND ADVANCEMENT

A publication of the
Committee on Academic Personnel
prepared in consultation with the
Associate Vice Chancellor for Academic Personnel
(Revised ~~08/07~~ 09/09)

This compilation is intended as an aid for the use of Departmental Chairs and ladder faculty. It is not a substitute for the official documents governing appointment and advancement at UCSB, the Academic Personnel Manual and Red Binder, which are authoritative and must be carefully adhered to in personnel actions. Rather it is intended to provide a comprehensive overview of the policies and procedures governing appointment and advancement from the perspective of the Committee on Academic Personnel. Key terms are in **boldface type** to draw attention to their importance; *italics* are used for emphasis.

The official manual governing personnel actions is the Academic Personnel Manual (APM), issued and revised by the President of the University. UCSB campus policies and procedures are contained in the "Red Binder." The President also issues an annual list of salary scales. These documents are available for reference at <http://www.acadpers.ucsb.edu/>.

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I. RANKS, STEPS, AND NORMAL PERIODS OF SERVICE WITHIN STEPS

The information in this summary concerns primarily the faculty in the **professorial ranks**: Assistant Professor, Associate Professor, and Professor. There is a normal period of service for most **steps** within these ranks, as indicated in the following table. However, movement between ranks (**promotion**) or from one step to another within a rank (**merit advancement** or **merit increase**) *depends upon merit. It is never automatic*, and it can be faster than normal in recognition of outstanding performance (an **acceleration**) or delayed when performance is not up to normal (a **deceleration**).

REGULAR RANKS, STEPS, NORMAL PERIODS OF SERVICE

ASSISTANT PROFESSOR (8 year limit, non-tenured)		ASSOCIATE PROFESSOR (6 years normal, tenured)		PROFESSOR (indefinite, tenured)	
<u>Step</u>	<u>Normal period of service</u>	<u>Step</u>	<u>Normal period of service</u>	<u>Step</u>	<u>Normal period of service</u>
I	2 (not used at UCSB)				
II	2				
III	2				
IV	2				
V	2 (over-lapping step)	I	2		
VI	2 (not used at UCSB)	II	2		
		III	2		
		IV	3 (over-lapping step)	I	3
		V	3 (not used at UCSB)	II	3
				III	3
				IV	3
				V	3
				VI	3
				VII	3
				VIII	3
				IX	4

Assistant Professor V and Associate Professor IV are **special steps**. Service at these steps may count as "**time-in-grade**" in the related steps of the next higher rank; e.g., after two years as Associate Professor IV and one year as Professor I, a candidate may be reviewed for a normal merit increase to Professor II, just as would be done after three years at Professor I. Normal advancement occupies six years at the Assistant Professor rank with eight as the maximum before either promotion or termination; six years at the Associate Professor rank; and an indefinite time in the Professorship.

In addition to the regular steps, some appointments or advancements may be made **Above Scale**, i.e., to salaries above Professor IX. These salaries are reserved for scholars of "the highest distinction, whose work has been internationally recognized and acclaimed." An exceptionally high salary must be approved by the Board of Regents.

Service at Professor V through IX, or at the Above Scale salary step may be for indefinite duration. Accelerated advancement before three years of service at these steps (four years at Step IX and Above Scale) will occur only in exceptional cases. Everyone will be formally evaluated at least once every five years (**a mandatory review**).

Off-scale salary supplements

In special circumstances, an individual may be given an **off-scale** salary, consisting of a **salary supplement** added to the listed salary at the assigned step. A recommendation for such a salary increase must be fully justified by the department or reviewing agencies recommending it. Salaries at all steps should be on scale to the maximum extent possible. At UCSB off-scale salaries are used to respond to external market conditions in recruitment and retention, as well as to provide a partial reward for good service in cases when promotion or a full step advancement is not indicated. *Off-scale supplements are not subject to range adjustment.*

II. MATERIALS REQUIRED FOR PERSONNEL ACTIONS

Each time a recommendation for a personnel action is initiated, a **dossier** or **file** containing materials relevant to that recommendation is prepared by the Department Chair. The complete dossier includes the following:

1. The **UCSB Biography** form supplied by the candidate at the time of appointment, which summarizes his/ her professional career including salaries up to that time. (*Needed only for appointments*)
2. The updated **Bio-Bibliography** prepared by the faculty member.
3. In certain cases **extramural letters** of appraisal or recommendation from qualified experts evaluating the quality of a person's research or creative work and his/ her professional reputation. Such letters are required in all cases of appointment and promotion, and for advancement to Professor VI and Professor Above Scale. A minimum of six analytical letters is required, and at least half should be chosen by the Chair *in consultation with the department* but independent of the candidate. The other half can be nominated by the candidate. It is important that at least some of the external evaluators are familiar with UC standards. For certain advancement cases, UC familiar references are required. The department's submission must include a coded list including a brief resume of the qualifications of each reviewer, indicating whether the reviewer was chosen by the candidate or by the department. This list should also indicate any relationships between the candidate and the reviewer (e.g., thesis advisor, co-author, etc.)

The Chair should have minimum contact with the extramural evaluators beyond the letter soliciting the evaluation, because intended or unintended suggestions or hints to the evaluators may distort results and work unfairly either for or against the candidate.

4. A letter of recommendation initiating the proposed appointment or advancement, normally written by the Department Chair. (When a Chair is under consideration for advancement the case will be handled by a Vice-Chair or other senior faculty member). The Chair's letter should be accompanied by all relevant information, including particularly the signed **Safeguard Statement** in advancement cases.
5. A thorough evaluation of teaching as described in Section V below.
6. A complete set of publications covering the review period, which will be returned to the department at the conclusion of the review. "Review period" in cases for appointment and promotion means the complete record of the candidate (in cases where this is impractical, a complete record of the most recent work and a sample of other significant works may be submitted). For merit review cases "review period" means years at step, ignoring any off-scale salary supplement.

III. THE REVIEW PROCESS

Overview of the reviewing process (many of these steps are not applicable to appointment cases)

1. In the spring the Associate Vice Chancellor for Academic Personnel sends each department a list of

faculty members eligible for normal advancement or promotion during the coming academic year.

3.

2. The Department Chair notifies each faculty member of his/ her eligibility for personnel review. The Chair should also review faculty not on the eligibility list for the possibility of accelerated merit or promotion.
3. The faculty member *either* requests a deferral of action for one year *or* prepares evidence for the review, with the assistance of a departmental personnel committee, or a case supervisor, or the Chair. Deadlines for submission of materials to departments should be set in line with College or Campus deadlines to allow timely processing of cases.
4. The candidate is given the opportunity to respond to the materials in the file.
5. The case is presented and discussed. This is followed by a vote of eligible faculty in accordance with Senate By-Law 55 or other departmental voting procedures approved by CAP.
6. The Chair writes a letter analyzing the case and summarizing the department's recommendation. This letter is available for inspection, amendment, or rebuttal by all eligible department members.
7. A candidate for advancement is given an oral summary or written copy of the departmental recommendation and completes the Safeguard Statement.
8. A separate letter from the Chair should not be submitted except on the rare occasions when evidence exists that could not be appropriately shared in the department letter.
9. The department letter, along with all publications, teaching evidence and other materials pertaining to this review (the "dossier") is sent forward to the Dean.
10. In cases where the Dean does not have final authority, the dossier, including the Dean's letter, is sent to the Office of Academic Personnel, which forwards it to the Committee on Academic Personnel (CAP). CAP assigns the case to one or more members, usually from as similar a field as possible. (Note: cases are *never* assigned to a CAP member who belongs to the candidate's own department; in fact, CAP members are never present during discussion of cases from their own departments.)
11. In appointments and promotion to tenure, terminations, and advancements to Above Scale, and sometimes in promotion to Professor and advancement to Step VI, an ad hoc review committee is appointed by the Chancellor's designee on nomination from CAP.
12. CAP considers the case after the ad hoc committee and the Dean have submitted their letters. If no ad hoc review is required, CAP proceeds once the Dean's recommendation is received. A draft letter is written by the assigned member, distributed to the whole committee, read aloud, and fully discussed. A vote is taken in the rare cases when a consensus recommendation cannot be reached.
13. CAP's recommendation is forwarded to the Office of Academic Personnel for the final decision. If the Chancellor's (or designee's) *tentative decision* differs from CAP's and/ or the Dean's recommendation, it is sent back to that agency for further comment. If the recommendations vary by \$2,000 or less, the Chancellor (or designee) will not be required to consult further.
14. The Chancellor's (or designee's) final decision is communicated to the department and the candidate. In certain cases a "Chancellor's tentative decision" must precede the final decision. (See Red Binder I-39)

Details of the review process

1. Preparation of the Recommendation: Recommendations for personnel actions normally originate with

the Department Chair. His/ her letter should provide a comprehensive assessment of the candidate's

4.

qualifications together with detailed evidence to support this evaluation. The letter should also present a report of the Chair's consultation with the members of his/ her department, including the vote tally and the basis for any dissent. The Chair should explain any apparent anomalies in the voting, e.g., a disproportionately small number of votes relative to departmental size, or excessive abstentions.

The departmental 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 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**.

The candidate has the right to augment the dossier with items relevant to the case, so long as the submission does not violate the privacy of third parties or other campus policies. Such materials may include self-assessments, award letters and other professional items. Dissenting department members have the right to have a minority report included with the department letter. However, a minority report should not be submitted unless, after good-faith efforts by all parties, the minority believes that its views are not accurately represented in the Chair's letter.

The Chair should also communicate with the candidate as required by Section 220-80 of the APM and outlined in "Departmental Checklist for Academic Advancement", Red Binder I-22. An oral summary or preferably a written copy of the departmental letter is given to the candidate as part of the review process.

2. The Dean of the appropriate college or division makes his/ her analysis and recommendation without reference to the recommendation of any reviewing agency other than the Department. He/ she has access only to the departmental file, to previous departmental letters, and to previous Dean's recommendations. Of course, publicly available scholarly materials are available to all reviewing agencies.
3. On behalf of the Chancellor, An *ad hoc* review committee (nominated by CAP and appointed by the Associate Vice Chancellor for Academic Personnel) is routinely formed for cases involving promotion to tenure, tenure appointment, terminal appointment, and advancement to Professor Above Scale; it is sometimes appointed for promotion to Professor, and for advancement to Professor VI. The membership of such a committee is known only to CAP and to the Chancellor, the Executive Vice Chancellor, the Associate Vice Chancellor for Academic Personnel, and the committee itself. In promotion and appointment cases, the ad hoc review committee includes a representative from the Department who is not present during the final discussion and vote; it normally includes faculty of the same or higher rank and step from related departments. The ad hoc review committee makes its recommendation independently of all other reviewing agencies; it has access only to the file as it comes from the department. It does not have access to the prior personnel review file, to the Dean's letter, or to a separate confidential letter from the Chair, if one was submitted.
4. The Committee on Academic Personnel has access to the analyses and recommendations of all the aforementioned agencies, and to previous recommendations concerning the candidate.
5. The Chancellor (or designee) reviews the recommendations of all reviewing agencies (department, Dean's office, ad hoc review committee, if any, and CAP). If there is an inclination to make a decision which differs from the CAP's or the Dean's recommendation, that agency is informed of the tentative decision and given the opportunity to respond. If the recommendations vary by \$2,000 or less, the Chancellor (or designee) will not be required to consult further. The final decision is communicated to the candidate and the department. (Note: some cases with salaries above a certain level require

Each year an aggregate summary of personnel actions taken during the year and the recommendation made at each level of the process is prepared by CAP and is reported to the Academic Senate.

IV. SOME PROCEDURAL MATTERS

1. Requests for Further Information: Any reviewing agency may request additional information or documentation. The Dean sometimes requests such information directly from the Chair; ad hoc review committees and CAP always make such requests through the Associate Vice Chancellor for Academic Personnel. Such requests do not reflect on the merit of the candidate, nor do they imply that the departmental recommendation is not credible. They are meant to make the case file complete. The candidate should be informed of additional materials obtained (APM, Section 220-80-h).

Chairs should take special care to prepare the case thoroughly and properly. Significant delays result from improper or inadequate preparation of cases at the departmental level. When a reviewing agency requests additional information, a deadline for submission of those materials will be included in the request. If the materials are not received by the stated deadline the case will proceed through the review process without the materials. Failure to submit requested materials may have an effect on the outcome of the review.

2. Reconsideration: In special circumstances, after a decision is made, the Department Chair may begin the process of review again by requesting reconsideration. *Requests for reconsideration must include important additional evidence or documentation of previously mentioned work pertinent to the review period omitted in the original recommendation, such as a major publication, award, etc., or evidence that the decision was not based on a reasonable evaluation of the case.* Sometimes departments may wish to request reconsideration without such evidence in order to show solidarity with the candidate or for similar reasons. This clogs the whole process. *Such requests should not be submitted.*
3. Non-Reappointment: When it is decided that an Assistant Professor should not be reappointed (given a **terminal appointment**), or when a department recommendation for promotion to tenure may be denied, the Assistant Professor is given due notice, in accord with APM Section 220-20-c. Terminal appointments, whether originated by the department or elsewhere, are always given a full review, including consideration by the Dean, ad hoc committee, and CAP. (See APM Section 220-84.)
4. Formal Appraisal: The APM requires that at a certain point in his/ her career each Assistant Professor should be appraised. The purpose of the **appraisal** as stated in the APM is:

to arrive at preliminary assessments of the prospects of candidates for eventual promotion to tenure rank as well as to identify appointees whose records of performance and achievement are below the level of excellence desired for continued membership in the faculty. (Section 220-83.)

This appraisal is normally made during the fourth year of the Assistant Professor's career at the University. When an assistant professor has been appointed at a high step, the department may recommend tenure without a preliminary appraisal, if the record merits it.

The departmental letter concerning an appraisal should contain:

- a. A description and analysis of the candidate's total performance in each of the four areas of

evaluation.

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- b. An evaluation of that performance as progress toward eventual tenure.
- c. A clear statement that the recommendation of the department is: (a) "continued candidacy for eventual promotion", (b) "continued candidacy with reservations" (which should be specified), or (c) "terminal appointment". An Appraisal decision should never be interpreted as a *promise* of eventual promotion to tenure.

The appraisal recommendation may be integrated into the letter concerning the merit increase or recommendation for terminal appointment, provided that the fact that an appraisal has been made is clearly stated.

After the review is completed, the Associate Vice Chancellor for Academic Personnel will provide redacted copies of the review documents to the candidate.

- 5. Like a recommendation for advancement, a departmental recommendation against advancement must include an evaluation of the case, a summary of the relevant evidence, a summary of departmental views, and a record of the departmental vote.
- 6. Sometimes a candidate asks not to be reviewed for advancement, i.e., to be granted a **deferral**; in such cases, the Chair should determine whether the candidate's self-evaluation is accurate and should briefly review the available evidence in his/ her letter. No person at any rank may go more than five years without a formal evaluation. Except for Assistant Professors and mandatory reviews, deferrals are automatic if no case is submitted by the relevant deadline.
- 7. Reviewing Agency Reports: After a candidate has been notified of the decision in his/ her personnel case, she or he may request from the Office of Academic Personnel redacted copies of the reviewing agencies' reports pertaining to the case. The candidate will already have been given an oral summary or written copy of the departmental letter and of any confidential materials submitted with the file.

V. CRITERIA

The criteria for promotion and advancement are:

- (1) Research and other Professional Creative Work
- (2) Teaching
- (3) Professional Competence, Activity, and Recognition
- (4) University and Public Service

Superior intellectual attainment, as evidenced both in teaching and in research or other creative achievements, is an indispensable qualification for appointment or promotion to tenure positions. Insistence upon this standard is necessary for maintenance of the quality of the University as an institution dedicated to the discovery and transmission of knowledge. Teaching, research, professional and public service contributions that promote diversity and equal opportunity are to be given recognition in the evaluation of the candidate's qualifications. An individual may not be arbitrarily disadvantaged if he or she elected to take a childbearing or parental leave, to stop the clock, or to defer a personnel review.

1. Evidence of Research and Creative Work:

Research and creative accomplishments should be evaluated in the context of the faculty member's overall record of his/ her intellectual growth, and of the contribution his/ her work makes to his/ her

discipline. There should be evidence of continued and effective engagement in work of high quality and significance. No appointment or promotion to a tenured position will be made without evidence of

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intellectual distinction in research or creative activity. The research record should show growth, direction, and promise for the future.

A work once counted for an advancement cannot be counted again (except in highly unusual and demonstrably appropriate circumstances). The departmental letter must present the publication record for the current review period according to the following format: [A] Published work; [B] Work in press; [C] Work submitted; [D] work in progress. "Work in press" means 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. "Work submitted" is work that has been submitted but not yet accepted. *This work is not usually counted for the advancement, but it is used as evidence of continuing scholarly productivity.* "Work in progress" is work that has not been completed and is available for review. Such work is not usually 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.* If nonstandard terms such as "forthcoming" are also used, the department must define them carefully and state how they relate to the three categories above. *Not doing this may prevent a candidate from receiving proper credit or cause other anomalies in the review process.*

Classifying works is not always easy, but identification should be as precise as possible, and should refer to intellectual content rather than to physical format. For example, in literature and history a "book" may be an extended piece of research reviewed for publication by expert referees; such a work should be distinguished from editions, anthologies, translations, or collections of other scholars' work. An "article" is normally a piece of research published in a refereed scholarly journal; it should be distinguished from popular pieces, preliminary research reports, reports for industrial or governmental agencies, and chapters (i.e., solicited pieces of an interpretative and summarizing nature). Similarly, in many disciplines, a review-article is normally a survey of current research in the field, not a lengthy book-review; while "editions" may be mere reprints with brief introductions, or they may be major works of historical reconstruction and critical interpretation. In different disciplines the standard terms (and the possibilities of ambiguity) are different; but in every case the classification should be as clear and helpful as possible.

It will help reviewing agencies to accurately evaluate the record if departments comment upon the prestige and significance of journals, publishers, or exhibition or performance venues in particular fields, along with other accepted measures or impact in a discipline (such as citation indexes or reviews).

Textbooks, reports, circulars, and similar publications are normally considered evidence of teaching ability or public service. However contributions by faculty members to the professional literature or to the advancement of professional practice or professional education, should be judged creative work when they present new ideas or incorporate original scholarly research. (APM 210.1.d(2)).

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.

2. Evidence of Teaching

According to University policy and the APM, professors at all ranks must have a current teaching record in order to be advanced.

Effective teaching is an essential criterion for advancement or promotion. Clear documentation of ability and diligence in teaching is required.

In judging the effectiveness of a candidate's teaching, the following should be considered: the

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candidate's command of the subject; continuous growth in the subject field; ability to organize material and to present it with force and logic; capacity to awaken in students an awareness of the relationship of the subject to other fields of knowledge; fostering of student independence and capability to reason; spirit and enthusiasm which vitalize the candidate's learning and teaching; ability to arouse curiosity in beginning students, to encourage high standards, and to stimulate advanced students to creative work; personal attributes as they affect teaching and students; extent and skill of the candidate's participation in the general guidance, outreach and mentoring, and advising of students; effectiveness in creating an academic environment that is open and encouraging to all students. Attention should also be paid to the variety of demands placed on instructors by the types of teaching called for in various disciplines and at various levels, with proper reference to assigned teaching responsibilities. (APM 210.1.d(1)).

The principle in evaluating teaching is that consistency be applied across the campus in order to facilitate appropriate comparisons. However, to accommodate varying departmental needs, the requirement for consistency in reporting is held to a minimum number of items. Beyond that minimum, departments must determine which aspects of evaluation are the most appropriate for them and then must apply these standards consistently in all personnel cases at all levels.

The information used in assessing teaching must be summarized for each case and should include:

- a. Nominal information tabulating the teaching record of the candidate during the review period, including:
 - i. A listing (by course name and catalog number) of the candidate's teaching load, the academic quarters during which the courses were taught, a class-by-class enumeration of the number of students enrolled, and the number completing the two campus wide student survey items (see section b. i)
 - ii. Enumeration of the M.A. and Ph. D. candidates he/ she is supervising or has directed to completion of their degrees, the M.A. and Ph.D. committees on which he/ she has served, and other contributions to the graduate program.

This nominal information is summarized using the standardized format contained in the bio-bibliographic form.

- b. Evaluative information assessing the teaching record of the individual during the review period must be presented. In order for the numerical scores on the student evaluation forms to not assume disproportionate weight, departments are urged to include as many other criteria as appropriate.
 - i. *Student respondents.* Systematic surveys of student opinions are essential for *all* classes taught by the candidate. These evaluations must be part of the record. The departmental letter must compare the candidate's scores with departmental scores for comparable classes.

Departments may include whatever questions they like, except that:

All student evaluations *must* include at a minimum the following two standard campus wide survey items: (1) *Please rate the overall quality of the instructor's teaching:* (2) *Please rate the overall quality of the course, including its material or content, independent of the*

instructor's teaching.

These evaluations must be part of the record and must be supplied for each course taught. To enable and strengthen comparative ratings on a campus wide basis, all student evaluations based on the two campus wide survey items must use a 1-5 scale

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with 1 high, with the following description explicitly stated on the form: (1) Excellent; (2) Very Good; (3) Good; (4) Fair; (5) Poor.¹

Reviewing agencies will return cases to the departments if they do not conform to these guidelines.

- ii. *Departments must also provide other items they judge appropriate for determining the effectiveness of teaching.* APM 210-1 specifies that for promotion to Associate Professor and Professor comments from other faculty members on the candidate's teaching are required.

Suggestions. Open-ended questions asked of graduating seniors, graduate students, or alumni are extremely effective when compiled over time. Graduate student and/or teaching assistant ratings are useful, particularly when these ratings are collected over time and then summarized by a disinterested third party so as to guarantee student anonymity.

Placement of graduate students is one of the best measures of success in graduate teaching.

Peer assessments. On-campus and/or off-campus peer evaluations of the candidate's teaching effectiveness may also be included in the teaching dossier. These assessments may be based on evaluations of syllabi, reading lists, examinations, laboratory reports, class notes, or in-class visitations. If a department chooses such methods, they must be consistently applied at all ranks and steps with regard to principles of academic fairness. No intimidation or chilling effect arising from methodological or ideological postures may be allowed to contaminate the process.

Departmental Perspective. The Department Chair or other agency 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.

Self Evaluation. The department should encourage the candidate to submit a brief self-assessment of teaching effectiveness. This can include past, present, and future goals and objectives and how these were (will be) met. Details may include philosophy of instruction; strategies used; innovative instructional activities; instructional grants; comments about any strengths or deficiencies suggested by students or peers.

The department should send such self-assessments to reviewing agencies along with the case, or explain why such assessment is impractical.

3. Professional Competence and Activity:

Evidence includes such items as a) election to significant offices of professional or learned societies; b)

¹ The Office of Instructional Consultation can provide archival data to departments at no cost and in the format indicated as long as the department is using the ESCI system.

appointment as editor or referee for professional journals or other publications; c) invitations to lecture, present papers, review books, perform or exhibit; d) awards, grants or honors bestowed by organizations or foundations; e) requests for consultative service. Opinions expressed by extramural evaluators, and reviews of the candidate's work or citations of his/ her work by other researchers also constitute evidence of professional recognition. Departments should provide background and context for these

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accomplishments so reviewing agencies can evaluate their significance and importance.

4. University and Public Service:

The bio-bibliographic update should include a list of the candidate's service (with dates) in departmental, Senate, and administrative capacities (including committee service), and of his/ her formal service to the community or to public agencies. Evaluation of the quality of his/ her service in these areas is important. Recognition should be accorded faculty for able administration of faculty governance; it should also be accorded for able service to the community, state or nation. Contributions to student welfare, mentorship and to affirmative action efforts should be recognized. Periods of service on various committees should be dated.

Note Non-tenured faculty should be cautioned against undertaking too many committee assignments, since these may interfere with the two main areas for promotion, research and teaching.

VI. CONFIDENTIALITY AND PERSONNEL SAFEGUARDS

Our system of review depends upon impartial professional judgment, and confidentiality has always been essential to the effective functioning of the system. One reason for confidentiality is that it protects impartial judgments from pressures of other interested parties. At UC, confidentiality applies to the votes and analyses of individual department members; to the authorship of extramural letters of evaluation; and to the membership of ad hoc review committees. In the past when the confidentiality of an ad hoc review committee has broken down, its recommendations have been disregarded and a new committee appointed.

Confidentiality, however, is consistent with the rights of candidates to understand the evidence and the criteria upon which they are judged. The details of a candidate's rights in this area are described in APM Sections 160 and 220 and are designed to assure that the use of confidential documents does not cloak abuse.

VII. DEPARTMENTAL VOTING ON PERSONNEL CASES

Departmental voting rights in personnel cases are governed by **SENATE BY-LAW 55** (Santa Barbara Division By Law 240). Substantial differences among departments exist. *Departmental voting plans must be approved by the CAP and be on file in the Office of Academic Personnel.*

II-12
NON-SENATE FACULTY CHECKLIST
FOR YEARS 1-6
(Revised 09/08 09/10)

Appointments for Years 1-6 (Lecturers and Supervisor of Teacher Education)
Checklist of Documents Required

Submit the original plus one copy of each document, unless otherwise noted.

I. Departmental Recommendation

- ☐ Is the salary rate on the Unit 18 Standard Table?
- ☐ Is the monthly salary commensurate with the pay basis (i.e. 9/9 or 9/12)
- ☐ Is the annual rate is same as the last or current appointment within the department? If not, is justification for the merit included?
- ☐ If this is the 10th quarter of service and there have been no past within range salary increases, has the salary been increased by two steps?
- ☐ Is the Title code appropriate for the appointment?

	<u>9/9</u>	<u>9/12</u>
Lecturer	1632	1630
Senior Lecturer	1642	1640
Supv. of Teacher Ed	2220	2220
- ☐ Is the period of appointment appropriate for the service?

	<u>9/9</u>	<u>9/12</u>
Fall Qtr	10-1 to 12-31	7-1 to 10-31
Winter Qtr	1-1 to 3-31	11-1 to 2-28
Spring Qtr	4-1 to 6-30	3-1 to 6-30
- ☐ Does the assignment conform to the Departmental Workload Statement? Is the percent time accurately reflected?
- ☐ Is the current year cost accurate? (Annual/3, x % time x number of quarters)
- ☐ Is the FTE calculation accurate? (% time/3 x number of quarters)
- ☐ Is the number of quarters of service to date in Unit 18 titles within the department listed?
- ☐ Has Graduate Council approval been obtained for graduate level courses?

II. UCSB Biography Form

- ☐ If this is the first Unit 18 appointment in the department, is a complete UCSB Biography form included?
- ☐ Is the form signed and dated?

III. ~~Affirmative Action Recruitment Summary~~ Recruitment Packet (original only)

- ☐ If required by Red Binder VII-I, III IV has the ~~Academic Recruitment Packet~~ ~~Affirmative Action Recruitment Summary~~ been included?

IV. Teaching Evaluations (original only)

- ☐ If this is a reappointment in the same department, are ESCI included?

II-14
**DOCUMENTS TO BE SUBMITTED BY THE DEPARTMENT
EXCELLENCE REVIEWS AND SUBSEQUENT MERIT REVIEWS**
(Revised ~~04/09~~ 09/10)

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

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

~~II. I. Departmental review committee letter of recommendation~~

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

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

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

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

~~IV. III. Complete CV~~

- ☐ Is the CV up to date?

~~V. IV. Safeguard Statement.~~

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

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

~~VI. V. Evaluation of the teaching record.~~

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

- ☐ Is the B&P printout, or similar listing of classes included in the case?

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

~~VII.~~ VI. Other Materials submitted by the candidate

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

Remove- done on line as upload screen

II-15

CONTINUING APPOINTMENT REVIEW FORM

Informational only- all cases are to be submitted on line

(Revised 01/08)

Name _____

Department _____

PRESENT STATUS

PROPOSED STATUS

Title _____

Title _____

Current Salary _____

Proposed Salary _____

Effective Date _____

Departmental vote _____

Statement of review process: _____

Check one:

Excellence Review: _____

Merit: _____

Promotion: _____

Documents to be submitted. Include explanation for any missing documents.

___ Departmental recommendation

___ Candidate response

___ Updated C.V. (including catalogue course listing) or bio-bib

___ Teaching Evaluation : ESCI Score Tabulation and at least one of the following:

___ Additional Source(s) of Evaluation: List _____

___ Raw Student Evaluations (optional)

___ Candidate's Self-Assessment of teaching

___ Peer Evaluation

___ Chair's confidential letter

___ Minority opinion report

___ Letters of evaluation if the proposed action is the Excellence review:

___ Sample Solicitation Letter;

___ List of Referees, including brief biography and indication who selected referees

___ Copies of publications if appropriate

___ Other: List _____

LECTURER AND SENIOR LECTURER : 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 MOU Article 7.B and 7.C
2. I had the opportunity to ask questions, supply information and evidence, and add material to my file in preparation for the review (Article 7.B.E.2 and E.3)
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
 - 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. I was informed whether or not there were confidential documents (*i.e. external letters, minority opinion reports*) in my department review file and of my right to review a summary of any such documents.

☐

Yes, there are confidential documents in my file (proceed to #6)

☐

No, there are not any confidential documents in my file (proceed to #7)

6. *If yes to #5*, I was provided the contents of the confidential documents (*i.e. external letters, minority opinion reports*) ~~if any~~, in my file by means of:

☐

A. Redacted Copies

☐

C. Chose not to receive contents

☐

B. Oral Summary

☐~~D. No confidential documents~~

7. I had the opportunity to inspect all non-confidential documents in the review file.
8. 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:

9. I was informed of the departmental recommendation and the substance of the evaluation under each of the applicable review criteria by means of:

☐

A. Copy of Departmental Recommendation

☐

B. Oral Summary

☐

C. Chose not to be informed

10. I was informed of my right to make written comments, within five 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 *and made available to other voting faculty in the department.*

11. 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 *and available to other reviewing agencies outside of the Department. I understand that the department may be provided with such comments and be given an opportunity to respond.*

I HAVE SUBMITTED THE FOLLOWING **ADDITIONAL** 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 in response to materials in the file (in accordance with 8 above)

☐

A written statement about the departmental recommendation to the Chair (in accordance with 10 above).

☐

A written statement about the recommendation to the Dean (in accordance with 11 above) *and understand that the department may be asked to comment on it.*

EXCEPTIONS OR COMMENTS:

REVIEWING AGENCY REPORTS

☐

I request that copies of reviewing agency reports (Dean, CAP, and any correspondence between them) be provided to me after the conclusion of my review



I do not wish to receive copies of reviewing agency reports (Dean, CAP, and any correspondence between them at the conclusion of my review, but understand that I may request them at any time in the future

SIGNED _____ DATED _____

PRINT NAME _____ DEPARTMENT _____

New section

II-18

TEACHER-SPECIAL PROGRAMS

(09/10)

I. Definition

The title of Teacher-Special Programs is used for individuals who are teaching non-regular classes to University and non-University students on a part-time by-agreement basis.

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

II. Appointment Criteria and Conditions of use of title

Appointees to this title may hold other Non-Senate instructional titles (i.e. Lecturer) or other non-senate academic titles or may hold this title alone.

III. Terms of appointment and compensation

Appointments will be made only on a by-agreement basis and will be made only for non-regular classes scheduled for periods of less than one full quarter or in the summer. The title may not be used as a method of paying additional compensation beyond 100% salary. Compensation levels are negotiated based on the experience of the individual, the hours to be worked, and the complexity of the assignment.

V. Approval authority

Action

All appointments

Authority

AVC Academic Personnel

II-25
DOCUMENTS TO BE SUBMITTED BY THE CHAIR
CONTINUING EDUCATORS
(Revised ~~07/07~~ 09/10)

APPOINTMENTS

I. Departmental letter of recommendation

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

- ☐ Are the dates of the appointment and the level of the appointment clearly stated?
- ☐ Is the recommended salary on the published salary scale?

II. Complete CV and UCSB Academic biography form

- ☐ Is the CV up to date?
- ☐ Is the UCSB Academic biography form complete, signed and dated?

III. Job Description

- ☐ Does the job description address program scope and complexity, degree of independence, level of professional accomplishment required and scope of impact on the campus mission?

IV. Letters of evaluation and list of evaluators

Letters

- ☐ Have all letters been coded?
- ☐ If the letters were sent via email, is a copy of the email and any attachment included?

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

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

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

- ☐ Do the codes on the letters match the codes on the list and the codes used in the departmental letter?

V. Copies of other supportive documentation

- ☐ Has a representative sampling of supporting documentation been submitted?

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

- ☐ ~~Has the "Summary B" form been completed, signed, and approved by the Office of Equal Opportunity?~~
- ☐ ~~If an exception to open recruitment is being requested, has it been approved by the Office of Equal Opportunity?~~

Recruitment Packet (original only)

- ☐ *If required by Red Binder VII-I, III has the Academic Recruitment Packet been included?*

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

REAPPOINTMENTS

I. Departmental letter of recommendation

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

- ☐ Are the dates of the appointment and the level of the appointment clearly stated?
- ☐ Is the recommended salary on the published salary scale?

II. Job Description

- ☐ Is an updated job description included if there have been changes since the last review?
- ☐ If there have not been changes in the job description, does the departmental letter state that fact?

III. Affirmative Action Summary (if necessary)

- ☐ Has the "Summary B" form been completed, signed, and approved by the Office of Equal Opportunity?
- ☐ If an exception to open recruitment is being requested, has it been approved by the Office of Equal Opportunity?

MERITS

I. Departmental letter of recommendation

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

- ☐ Is the letter signed and dated?
- ☐ Is the letter an accurate, extensive, and **analytical** representation of the case?
- ☐ If there is a recommendation for an acceleration, are the reasons for the acceleration specifically stated?
- ☐ In the case of a negative departmental recommendation, is the basis of the recommendation clearly documented?

II. Updated CV or Bio-bib, following format in Red Binder I-28

- ☐ Is the CV up to date?
- ☐ Is the Bio-Bib in the proper format?
- ☐ Is the Research section a **cumulative** list of publications (or creative activities) with a line drawn separating all new items from where the bio-bib from the last review case had ended?
- ☐ Are the numbers the same as in the previously submitted bio-bib, and have items previously listed as "In Press", "Submitted" been accounted for?
- ☐ Are all items, including "In Press", "Submitted", and "In Progress" properly numbered?
- ☐ If sections other than Research are cumulative, are lines drawn showing what is new since the last successful review?

III. Job Description

- ☐ Is an updated job description included if there have been changes since the last review?
- ☐ If there have not been changes in the job description, does the departmental letter state that fact?

IV. Safeguard Statement (RB III-5).

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

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

IV. **Copies of supportive documentation**

- ☐ Has a representative sampling of supportive documentation been submitted, including a sampling of Extension Programs developed, teaching evaluations or other one-of-a-kind items as appropriate?

III-1
OTHER ACADEMIC TITLES
General Information
(Revised ~~04-09~~ 09/10)

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

Policies

The campus Policy and Procedures for Discipline and Dismissal (Red Binder ~~III-30 IX-20~~) and the Policy and Procedures on Non-Senate Academic Grievances (Red Binder ~~III-35 IX-25~~) are applicable to appointees in this section.

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

Deadlines for submission of merit/ promotion requests

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

Requests for advancement are due according to the following schedule:

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

Service limitations

For all series, six months or more of service, with or without salary, in any fiscal year counts as one full year of service.

Appointments or reappointments in the Project Scientist, Specialist, and Academic Coordinator series are normally made for one year at a time, but for certain titles may be longer. See specific Red Binder sections for limitations for each title.

Appointments and reappointments in the Professional Research series may be made for up to two years at a time at the Assistant and Associate level and up to three years at a time at the Researcher level if guaranteed funding is available.

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

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

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

Within 30 days of the Notice of Intent, and after review of any response, the University will issue a written Notice of Action to the employee. Pay in lieu of notice may be given.

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

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

III-3
TEMPORARY ACADEMIC **RESEARCH** APPOINTMENT
FORM LETTER
(Revised ~~02/10~~ 09/10)

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

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. **Search information (check one):**
____Academic Recruitment Packet completed (attached) ~~Date Affirmative Action Search Plan~~
____Exempt from search due to: ____ or ____P.I. on grant
____Exceptions to open recruitment: (Attached memo with OEOSH/TC recommendation)
~~(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:

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.

III-4
RESEARCH TITLE REVIEW FORM
(Revised ~~08/07~~ 09/10)

Attach this form as cover sheet to departmental letter.

Contact information: name, extension, e-mail

Administrative comments: Note change of Title/ series, shared appointment, or other information of importance

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 _____ Years at Step _____

Effective Date _____

Departmental vote, if taken, and statement of review process: _____

CHECK ONE:

Check as appropriate:

_____ On time merit (advancement within rank)

_____ Promotion

_____ Acceleration *(including addition of off-scale)*

_____ Mandatory Review

_____ To Researcher VI

_____ To or within Researcher Above Scale

_____ Special Step (A sst. V; Assoc. IV)

_____ Deceleration

Indicate with a check mark documents submitted. Include explanation for any missing documents.

_____ Signed Safeguard Statement

_____ Completed Bio-bibliographical Update

_____ Extramural Letters if proposed action is a promotion:

total # of letters solicited _____; # suggested by candidate _____

_____ Sample Solicitation Letter;

_____ List of Referees, including brief biography and indication who nominated referees

_____ Copies of publications as required

_____ Copy of redacted materials provided to the candidate, if any

_____ Other: List _____

III-5
PROCEDURAL SAFEGUARD STATEMENT
TEMPORARY ACADEMIC TITLES
(Revised 04/06 09/10)

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, 310, 311, 330, 340 and 375 as appropriate.
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)
 - 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. I was informed whether or not there were confidential documents *(i.e. external letters, minority opinion reports)* in my department review file and of my right to review a summary of any such documents.

☐

Yes, there are confidential documents in my file (proceed to #6)

☐

No, there are not any confidential documents in my file (proceed to #7)

6. *If yes to #5,* I was provided the contents of the confidential documents *(i.e. external letters, minority opinion reports)*, ~~if any,~~ in my file by means of:

☐

A. Redacted copy

☐

C. Chose not to receive contents

☐

B. Oral Summary

☐

~~D. No confidential documents~~

7. I had the opportunity to inspect all non-confidential documents in the review file.
8. 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:

9. I was informed of the departmental recommendation and the substance of the evaluation under each of the applicable review criteria by means of:

☐ A. Copy of the departmental recommendation

☐ B. Oral Summary

☐ C. Chose not to be informed

10. I was informed whether or not the department vote for the recommendation was unanimous or by a strong or a narrow majority.

11. I was informed of my right to make written comments, within five 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 *and made available to other voting faculty in the department.*

12. 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 *and available to other reviewing agencies outside of the Department. I understand that the department may be provided with such comments and be given an opportunity to respond.*

I HAVE SUBMITTED THE FOLLOWING *ADDITIONAL* 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 in response to materials in the file (in accordance with 8 above).

☐ A written statement about the departmental recommendation to the Chair (in accordance with 11 above).

☐ A written statement about the recommendation to the dean (in accordance with 12 above) *and understand that the department may be asked to comment on it.*

EXCEPTIONS OR COMMENTS

SIGNED _____ DATED _____

PRINT NAME _____ DEPARTMENT _____

III-7
DOCUMENTS TO BE SUBMITTED BY THE CHAIR
RESEARCH APPOINTMENTS
(Revised ~~05-07~~ 09/10)

Submit the original of each document, along with one set of publications.

I. **Temporary Academic Appointment Form letter (RB III-3)**

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

- ☐ Are the dates of the appointment, rank and step all clearly stated?
- ☐ Is the recommended salary on the published salary scale?
- ☐ If a request is being made to use the Engineering scale in a non-Engineering unit (RB III-12 V, A, 2) is appropriate justification provided?
- ☐ Is the off-scale supplement correct (if applicable), per off-scale general policies (RB I-8)?
- ☐ Does section "N" provide thorough justification for the level of appointment requested?
- ☐ Is section "O" an accurate, extensive, and **analytical** representation of the candidate's qualifications?
- ☐ If the case contains extramural letters, are letter writers identified **only** by coded list, with no identifying statements?

II. **Extramural letters of evaluation** and list of evaluators for appointment at the Associate and full level as required (Red Binder I-49)

Extramural Letters

- ☐ Are the required number of letters included, including letters from UC or UC familiar referees when appropriate (RB III-12, III-14, III-16)
- ☐ Are at least half of the letters from references chosen by the Chair/Dept independent of the candidate?
- ☐ Have all letters been coded, on all copies?
- ☐ If the letters were sent via email, is a copy of the email and any attachment included?

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

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

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

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

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

- ☐ Is the CV up to date?
- ☐ Is the UCSB Academic biography form complete, signed and dated?

IV. **Copies of publications**

- ☐ Has a representative sampling of publications been submitted?

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

☐ Has the "Summary B" form been completed, signed, and approved by the Office of Equal Opportunity?

☐ If an exception to open recruitment is being requested, has it been approved by the Office of Equal Opportunity?

Recruitment Packet (original only)

☐ If required by Red Binder VII-I, III has the Academic Recruitment Packet been included?

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

III-8 TYPES OF REVIEW (Revised 08/07 09/10)

On-time merit advancement

A merit action is considered on-time when the departmental recommendation is for a normal advance in step that does not increase or decrease the off-scale salary supplement and does not involve a special step or mandatory review.

On-time merit advancement at the Assistant and Associate levels occurs after two years at step, and at the Full level after three years at step.

The Vice Chancellor for Research has approval authority for on-time merits. Upon review and approval, the Vice Chancellor for Research will forward the completed case to the Office of Academic Personnel for post-audit. The Office of Academic Personnel will remain the office of record for maintenance of personnel files.

Other reviews

I. Accelerated actions

Departments should not hesitate to propose accelerated advancement to reward cases of superior performance. Early advancement to the next step or rank is the appropriate form of acceleration. *The addition of, or an increase in off-scale supplement will also be considered an acceleration. However,* off-scale salaries are most commonly used to respond to "market pressures", as described in Red Binder I-8). *To this end,* Departments should review candidates performing at a superior level in advance of their normal eligibility for merit increase or promotion. As with any on time advancement, the individual's next eligible date for advancement will be based on the effective date of the accelerated advancement if an advancement in step occurs.

II. Decelerated actions

A case will be considered decelerated if the candidate has been at the current step for longer than the normal years at step. The departmental letter should give an explanation for the deceleration.

III. Promotion to the Associate level

Professional Research Series:

The principal criterion for promotion to Associate Researcher is superior intellectual attainment in research or other creative achievement. The most useful critical assessment of "superior intellectual attainment" must come primarily from those who are established figures in the field, primarily from colleagues in the department as well as faculty in comparable departments and programs nationally and internationally. (In this connection, departments may wish to provide an operational interpretation of the phrase "superior intellectual attainment" which they consider appropriate to the particular discipline or subject-area). Candid, thorough, documented and concise assessment on this level is clearly essential if reviewing agencies are to perform their proper analytical and evaluative task. Furthermore, it is essential that a candidate's performance be measured by the highest standards of excellence that are currently recognized by a given intellectual discipline or subject-area. The level of research independence expected for promotion to Associate Researcher is equivalent to the expectation of research independence for a ladder faculty member being promoted to Associate Professor. Promotion to Associate Researcher will normally take place at the beginning of the seventh year of service and must occur no later than the end of the eighth year of service.

Project Scientist and Specialist Series:

Advancement from Assistant Project Scientist to Associate Project Scientist requires competency and an expanding level of independence. Advancement from Assistant Specialist to Associate Specialist requires the candidate to provide independent input into the planning and execution of the research.

IV. **Promotion to Full**

Professional Research Series:

Promotion to Researcher requires an accomplished record of research that is judged to be excellent within the larger discipline or field. Superior intellectual attainment, as evidenced in research or other creative achievement, is an indispensable qualification for advancement to Researcher.

Project Scientist and Specialist Series:

Advancement to Project Scientist requires competency and an expanding level of independence.

Advancement to Specialist requires the candidate to provide independent input into the planning and execution of the research.

V. **Merit to a special step.**

Assistant Researcher V, Associate Researcher IV, Assistant Project Scientist V and Associate Project Scientist IV are "special" steps in the sense that these steps may be utilized for advancement when a candidate shows clear evidence of completed work that is likely to lead to promotion in the near future when published, but whose established record of accomplishment has not yet attained sufficient strength to warrant promotion. Service at the special steps is in lieu of service at the first step of the next rank. Once advanced to a special step, the normal progression is for promotion to the next rank. Further advancement within the special step will happen only in very rare and unusual circumstances. Upon advancement to a special step, the candidate is eligible for promotion the following year. If promoted earlier than the normal years at step for Step I of the higher rank, promotion should be lateral and eligibility for future merit will be determined based on the combination of years at the special step and years at Step I at the higher rank.

Professional Research Series only:

VI. **Terminal Appointments**

If, during a review of an Assistant Researcher, a preliminary decision is made for a terminal appointment, the procedures outlined in Red Binder I-39 must be followed. Appropriate notification and opportunity for response must be provided.

VII. **Mandatory reviews**

Researchers at all levels must undergo a performance review at least once every five years. This review may not be deferred. Non-submission of materials by the candidate will not constitute automatic deferral in the case of a mandatory review. If a Researcher 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.

VIII. **Merit to Researcher VI**

Advancement to Researcher VI is based on evidence of highly distinguished scholarship. In addition, great distinction, recognized nationally or internationally in scholarly or creative achievement is required for merit to Researcher VI. This is a career review and therefore is based on a review of the individual's entire academic career.

IX. **Merit to or within Researcher Above Scale**

Advancement to Researcher Above Scale is reserved for scholars of the highest distinction whose work has received international recognition. Advancement to Researcher Above Scale will normally occur after at least four years of service at Researcher IX with the individual's complete academic career being reviewed.

A merit increase for a candidate already serving at an Above Scale salary level must be justified by new evidence of merit and distinction appropriate to this highest level. Continued good service is not an adequate justification. Intervals between such salary increases may be indefinite.

Merit increases normally range between 5-7%, where 5% reflects new evidence of merit and distinction, and 7% is reserved for outstanding accomplishment. Cases for merit increases at the higher percentage must be justified by evidence of significant new achievement, such as the publication of a book, or significant recognition such as distinguished awards, prizes or elections. Only in the most exceptional cases, where there is strong and compelling evidence, will accelerated increases at intervals shorter than four years or merit increases above 7% be approved.

The Associate Vice Chancellor for Academic Personnel will have final approval authority for Professional Researcher promotions, advancement to Researcher VI and advancement to or within Above Scale. The Vice Chancellor for Research will have final approval authority for all other cases.

III-9
DOCUMENTS TO BE SUBMITTED BY THE CHAIR
RESEARCH REVIEWS
(Revised 09/09 09/10)

Submit the original of each document and one set of publications.

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

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

II. **Departmental letter of recommendation**

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

For All Cases:

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

For Career Reviews:

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

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

See Red Binder I-35 for further information.

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

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

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

- ☐ Is it signed and dated?
- ☐ If the candidate is in multiple departments, is a safeguard statement included for each department?
- ☐ If there are no confidential documents (e.g. external letters, minority opinion report), ~~box 6.D.~~ the appropriate box under #5 should be checked.

- ☐ Are copies of everything the candidate has provided, or been provided, included with the case (e.g. redacted letters, list of potential evaluators)?

V. **Bio-bibliographical Update**, following format in Red Binder I-28 (excluding teaching section).

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

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

Extramural Letters

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

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

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

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

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

VII. **Copies of publications.**

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

- ☐ Have all items included in Part I of the bio-bib for the current review period been submitted, including In Press and Submitted items?
- ☐ Do all of the titles on the actual publications match those listed on the bio-bib?
- ☐ For promotion to the Associate level, are all publications included?
- ☐ If any publications are missing from the file, is a note included noting which are missing and explaining why?

☐ For other career reviews (promotion to Full, advancement to Researcher to Step VI or Above Scale), are all publications since last review, and all or a representative sample of publications from the prior record included?

III-14
PROJECT SCIENTIST SERIES
(Revised 42-64 09/10)

I. Definition

The titles in this series are given only to those who make significant and creative contributions to a research or creative project. Appointees may be ongoing members of a research team, or may contribute high-level skills to a specific project for a limited time. Demonstrated capacity for fully independent research or research leadership as required in the Researcher series are not required in this series. However, a broad range of knowledge and competency and a higher level of independence than appointees in the Specialist series are expected. See APM 311 for System Wide policy on Project Scientists. See Red Binder III-23 for procedures for Visiting appointments in this series.

II. Ranks and Steps

- A. Assistant Project Scientist I – V (Steps V is considered a “special step”)
- B. Associate Project Scientist I – IV (Step IV is considered a “special step”)
- C. Project Scientist I –IX

The normal time of service at each step within the Assistant and Associate rank is 2 years, except for service at the special steps of Assistant Project Scientist V and Associate Project Scientist IV (Red Binder I-4, II). Within the Project Scientist rank normal service at Steps I-IV is 3 years. Service at Step V and above may be for an indefinite time; however, normal service is 3 years at Steps V through VIII and 4 years at Step IX.

III. Appointment and Advancement Criteria

The candidate must possess a doctorate or its equivalent at the time of initial appointment. The candidate will be judged based on the following criteria:

- A. Demonstrated significant, original, and creative contributions to a research or creative program or project
- B. Professional competence and activity

University and public service are encouraged but not required.

IV. Term of Appointment

Appointments or reappointments may be for up to two years at the Assistant Project Scientist and Associate Project Scientist level and for up to three years at the Project Scientist level if guaranteed funding is available.

V. Compensation

- A. A. Individuals appointed to this series are compensated on the salary scales established for the Project Scientist series on a fiscal year (11 months) basis except that an off-scale salary rate may be approved by the Vice Chancellor for Research. The Economics/Project Scientist salary scale will be used when either:

1. The unit is an Engineering unit (departments and research units reporting to the Dean of Engineering) or the Department of Economics

or:

2. The unit is multi or interdisciplinary and includes both engineering or economics and other disciplinary activity (for example: CNSI, ICB, MATP). In this case two additional criteria must be met: a) The individual's background and training is in engineering or economics, and b) The project with which the individual is associated is an engineering or economics project.

When option #2 is used, the justification for use of the Engineering scale must be clearly stated in the departmental appointment recommendation

- B. Salaries are subject to range adjustment.
- C. Each source which provides compensation for service in this series must permit research.
- D. Off-scale salaries are allowed within the same limits and policies as ladder faculty off-scale salaries. Off-scale salaries for Assistant Project Scientists may be between \$100 above the designated step and \$100 below the equivalent step in the next rank. Off-scale salaries for Associate Project Scientists may be between \$100 above the designated step and \$100 less than one step higher in the next rank. Off-scale salaries for Project Scientists below Step VI may be between \$100 above the designated step and \$100 less than four steps above, with a maximum of \$100 below Step VI. For Project Scientists at Steps VI through IX, no off-scale salary in excess of 10 percent above Step IX will be approved. (Red Binder I-8)

VI. Requests for Appointment and Advancement

Appointment cases are to be prepared using the Temporary Academic Appointment Form Letter (Red Binder III-3). Particular attention should be paid to section N and O, which requires justification for the level of appointment and 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. Normal advancement will occur after 2 years at step at the Assistant or Associate level and after 3 years at the Full Project Scientist level. Merit increases 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 appointment or advancement should include an evaluation of the candidate's record in all review areas (see III Appointment and Advancement Criteria, above). Each unit should establish set procedures for evaluation of Project Scientist appointments and advancements and development of the letter of recommendation. While review done solely by the Director or PI is acceptable at the Assistant Project Scientist level, a fuller review, including input from other equal or higher ranking individuals in the unit is preferable for Associate Project Scientist and Project Scientist level actions. Red Binder I-35 provides additional guidance on developing the letter of recommendation.

External Evaluation

External letters of evaluation are desirable in cases of: appointment as Associate Project Scientist, appointment as Project Scientist, promotion to Associate Project Scientist, and promotion to Project Scientist. A minimum of 4 letters at the Associate level, and 6 at the Full Project Scientist

level should be included if letters are solicited. Due to the nature of Project Scientist positions, it is possible that in some cases solicitation of external letters is inappropriate, or internal letters of evaluation are more helpful. In these cases, the decision to either not solicit or to solicit from internal sources should be clearly discussed in the departmental letter. 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. 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 Project Scientist/Project Scientist requires evaluation in the areas of: 1) Demonstrated significant, original, and creative contributions to a research or creative program or project, 2) Professional competence and activity.

VII. Approval Authority

<u>Action</u>	<u>Authority</u>
All actions	Vice Chancellor for Research

IV-3
ASSOCIATE IN _____
(title code 1506)
(Revised 02/10 09/10)

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 must be within the Departmental, Graduate Council approved number of years for both advancement to candidacy and degree completion as specified in Academic Senate Regulation 350A.

~~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)_____

IV - 6
TEACHING ASSISTANTS
(Revised 09/08 09/10)

The policy on this series is set forth in Academic Personnel Manual (APM) 410. At UCSB, the application of this policy is outlined in the following:

I. Definition

A teaching assistant is a registered UC graduate student in full-time residence, chosen for excellent scholarship and for promise as a teacher, and serving an apprenticeship under the supervision of a regular faculty member.

II. Appointment Criteria

The basic criteria for appointment are embodied in the definition of the series. In addition, each proposed appointment or reappointment is subject to certification by the Dean of the Graduate Division that the following conditions have been met:

- A. Maintenance of good academic standing (qualifying grade-point average of 3.0 in previous academic work and fewer than 12 units of incomplete or no grades). After a year or more of graduate work, the graduate record will be substituted for the candidate's undergraduate record in appraising scholarly performance.
- B. Current enrollment in a minimum of 8 units in a recognized program of graduate study within the appropriate degree deadline.

III. Conditions of Employment

The teaching assistant is responsible for conducting a lecture, laboratory, or quiz section under the active tutelage and supervision of a regular member of the faculty to whom final responsibility for the course's entire instruction, including the performance of teaching assistants, has been assigned.

A teaching assistant is not responsible for the instructional content of a course, for selection of student assignments, for planning of examinations, or for determining the term grade for students. The teaching assistant is not to be assigned responsibility for instructing the entire enrollment of a course or for providing the entire instruction of a group of students enrolled in a course.

IV. Terms of Employment

- A. Appointment as a Teaching Assistant is for one academic 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"*.
- B. Appointment to the title of teaching assistant is limited to a maximum of 50% time either in the teaching assistant position alone, or in combination with any other appointment through the University. ~~Exception to the 50% limit should be considered only when the following conditions are met:~~ Department chairs may approve exceptions up to 75% time. Employment beyond 75% must be approved by the Dean of the Graduate Division.

C. 4. Master's students must be within the four year time limit set for the master's degree as stated in Academic Senate Regulation 300A .

D. Doctoral students must be within the Departmental, Graduate Council approved number of years for both advancement to candidacy and degree completion as specified in Academic Senate Regulation 350A.

~~2. Doctoral students admitted Fall quarter 1995 or later must meet the four-year time limit set for advancement to doctoral candidacy by Graduate Council.~~

~~3. Doctoral students must be within the seven-year time limit set for the doctoral degree in Academic Senate Regulation 350A.~~

E. G. 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 will be at the 1/ 9th rate.

V. Process of appointment, supervision and review

The selection, supervision and training of all student-teachers is an important responsibility of the teaching department, and in particular of the department chairperson. All candidates for appointment and reappointment should be subject to careful review and recommendation, either by the department as a whole or by a responsible committee.

In order to ascertain the quality of the teaching assistant's work and to make improvements when necessary regular review is necessary. The faculty member with responsibility for the course should periodically visit the lecture and laboratory sections of the course to gain a basis for appropriate review.

Written evaluation of the teaching assistant should be provided by the overseeing faculty member on a quarterly basis. These evaluations should be included in any consideration for reappointment.

VI. Approval authority

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

V//11
SAMPLE EO/AA RECRUITMENT REPORT
(Revised 05/ 07)

Date of letter _____

TO: Dean

VIA: Director of Equal Opportunity

FROM: _____, Chair
Department of _____

RE: **Request for Recruitment Travel Funds**

We request approval for travel funds to recruit for and fill a faculty position in the area of _____

Search Procedures

The search committee consisted of three faculty: _____, _____, and _____. Professor _____ is the affirmative action committee representative on this committee. The criteria for evaluation of applications were: 1) _____, 2) _____, and 3) _____.

Efforts Undertaken to Ensure a Diverse Applicant Pool

Our recruitment efforts have been aimed at identifying an individual whose primary teaching and research lie in the general area of _____. To solicit as broad and comprehensive an applicant pool as possible, we took several steps to publicize the availability of this position. First, we advertised the position in the _____. This publication represents the primary source for announcement of positions in _____ and is consistently read by those seeking academic positions. Additionally, we wrote personal letters to the major academicians within the field of _____. Third, in order to attract minority candidates, announcements were sent to the National Hispanic Association, Association of Black _____, Asian American _____ Association, Society of Indian _____, and the _____ Women's Caucus.

The Applicant Pool and Finalist Candidates

A large number of applicants applied for the position, indicating the success of our recruitment efforts. We received a total of 120 applications. The gender and ethnic characteristics of the applicant pool (compiled from the 86 applicant survey forms returned) are summarized below:

Sex

Female	44 (51%)
Male	42 (49%)

Ethnicity

White	75 (87%)
Black	2 (2%)
Native American	4 (5%)
Hispanic	5 (6%)

One Hispanic male accepted a faculty position at another institution and withdrew his application. We have now completed our review of the applications and have identified four finalists (1 white female, 1 Hispanic female, and two white males), whom we believe to be the most outstanding candidates. Through colloquium funds, we will support the travel of _____. We request travel funds for the other three candidates.

Listed below are capsule descriptions of these candidates and their qualifications:

_____ received her Ph.D. at UCLA in 1977. In the following two years, she taught at UC Riverside and was then a visiting scholar at the University Rene Descartes in Paris. Subsequently she was awarded a three-year postdoctoral fellowship from the National Institute of _____. Her postdoctoral fellowship at the University of Denver was in the area of _____. Currently she is the director of _____. Her work on _____ has received national acclaim and represents an innovative application in this research area.

_____ received her Ph.D. from _____ in 1979. Since then, she has been a highly valued lecturer. She has established herself not only as an outstanding teacher but also as a well-respected scholar. Her research during the past few years has focused on _____. Her problem-solving research was funded by a two-year grant from the National Institute of Education. She has extended this line of research to develop a model for _____. For this investigation she has received a second two-year grant from the National Institute of Education.

_____ received his Ph.D. at the University of Michigan in 1975. From 1975 to 1979, he was assistant professor at the University of _____. In 1979, he moved to _____ University where he now holds the rank of Professor. In a short time, he has become a highly visible, well-respected, productive scholar. He has made outstanding contributions to the area of _____. As one indication of the recognition he has attained, he has served on the editorial board of two of the most prestigious journals in _____.

_____ received his Ph.D. from the University of Texas, Austin in 1978. His highly creative research is in the area of _____. From 1978 to 1981, he was a post-doctoral fellow in the Department of _____ at the University of Pennsylvania. After serving one year as assistant professor at the University of Oregon, he moved to the University of London as an honorary research fellow. Currently he is a visiting scholar at UC Berkeley.

Attachments: Candidate CV's
Request for Travel Approval forms

UNIVERSITY OF CALIFORNIA, SANTA BARBARA
RECRUITMENT PLAN FOR ACADEMIC VACANCIES

(Revised 04/ 09)

1. DEPARTMENT INFORMATION:

NAME OF DEPARTMENT

TODAY'S DATE

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

AREA OF RECRUITMENT OR SPECIALIZATION OF POSITION

PROVISION DESIGNATION

2. RECRUITMENT PLAN:

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

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

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

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

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

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

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

TOTAL ESTIMATED COST: \$ _____

Advertising funds to be used:

College funds	\$	
Departmental funds	\$	

Dept comment/special handling instructions, if any:

Name of Dept. Chair or Director	Authorized Signature	Date signed
---------------------------------	----------------------	-------------

Form prepared by: _____ Phone extension: _____

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

4. APPROVALS:

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

Dean or equivalent (for instructional titles only) The attached advertisement(s) has/have been reviewed and approved.	Date signed
--	--------------------

Office of Research or equivalent (for research titles only) The attached advertisement(s) has/have been reviewed and approved.	Date signed
--	--------------------

ROUTING:

PERMANENT ACADEMIC RECRUITMENT

- ☐ DIRECTOR OF EQUAL OPPORTUNITY
☐ DEAN/UNIVERSITY LIBRARIAN OR EQUIVALENT

TEMPOARY ACADEMIC RECRUITMENT

- ☐ DIRECTOR OF EQUAL OPPORTUNITY
☐ OFFICE OF RESEARCH OR EQUIVALENT

After final approval, confirmation ad copy goes to:

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

ACADEMIC POSITION ADVERTISING ORDER FORM

UNIVERSITY OF CALIFORNIA, SANTA BARBARA, CA 93106

(Revised 10/95)

TYPE OF POSITION: _____ PERMANENT _ TEMPORARY

PURCHASE ORDER # _____

(Please show above number on all correspondence.)

VENDOR INFORMATION:

Name: _____ Phone: _____

Address: _____ Fax: _____

_____ Contact: _____

Association sponsoring journal: _____

Issue(s) in which ad is to appear (Month or date): _____

Deadline date for earliest publication of ad: _____

Estimated cost of ad per issue: _____

Total estimated cost: _____

Type of ad: _____ Classified _____ Display

Additional information: _____

-

Dept. Chair or Director's Signature _____ Date _____

Dean's Signature _____ Date _____

**ACCOUNTING OFFICE
INFORMATION**

Department: _____

Position: _____

Department account number for split
funding: _____

Amount charged to department: _____

\$ _____

**Vendor: Please direct all inquiries to
department contact person below.**_____
Department contact name and phone

MAIL INVOICE IN DUPLICATE TO:

UNIVERSITY OF CALIFORNIA
ACCOUNTING OFFICE
SANTA BARBARA, CA 93106

Delete

V-16

INSTRUCTIONS FOR COMPLETING ADVERTISING ORDER FORM

(Revised 05/ 07)

1. Indicate the type of position that will be advertised:
 - a: **Permanent** (ladder rank faculty or lecturer series with security of employment)
 - b: **Temporary** (lecturers, researchers, all other temporary positions)
2. Assign a purchase order number or account number, if appropriate. If funding will be provided by another source, such as the Dean's office, leave this section blank.
3. Complete the Vendor information including the name of the journal, address, phone number, fax number and the name of a contact person (if known).
4. Fill in the name of the Professional Association that sponsors the journal, if applicable.
5. Indicate in which issue (s) the ad is to appear. List specific dates or issues (for example, "March 16 issue"), or "next available" if a specific date is not necessary.
6. Provide information concerning the Journal's publication deadline for the desired publication of the ad.
7. Indicate the estimated cost of the ad per issue and the total estimated cost. Please note that costs exceeding the normal allotment for advertisements determined by the appropriate College will be the responsibility of the department.
8. Check the type of ad; there is generally a significant price difference between classified and display advertisements.
9. Complete the department name and indicate the appropriate department account number (if a portion of the costs will be covered by the department) in the Accounting Office Information section.
10. The Chair or Director should sign to approve the ad and order. The Dean will also sign the form when it is forwarded to the College/ School office.
11. Indicate a Department Contact, the person to be contacted if there are questions about the ad by either other campus offices or the vendor.
12. Send the ad packet (e.g. the Recruitment Plan for Academic Vacancies form, a copy of the ad, and the Academic Position Advertising Order form) to the Office of Equal Opportunity. From there, for teaching appointments, the packet will be forwarded to the College/School for an appropriate approval signature. (Recruitment Plan for Academic Vacancies forms for research titles will be maintained in the Office of Equal Opportunity. After final approval copies will be provided to the Office of Equal Opportunity, and Academic Personnel (for Permanent positions).

V-19 need to get this from AA, don't have it electronically

SUMMARY A
RECRUITMENT ACTIVITIES FOR LADDER RANK FACULTY AND
OTHER PERMANENT ACADEMIC POSITIONS
UNIVERSITY OF CALIFORNIA, SANTA BARBARA
(Revised 04/09)

Recruiting Department

Name of Recommended Appointee

Title

Today's Date

Position Number

Area of Specialization

Ethnicity

Gender

Effective Date of Appointment

1. APPLICANT POOL DATA

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

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

2. Number of applicants who voluntarily identified themselves as:

Disabled:

Special Disabled Veteran:

Vietnam Era Veteran:

Other Veteran:

Summary A

Name. _____

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

Names of Finalists	Sex			Black	Asian	<u>Ethnicity</u> American Indian	Hispanic	White	Unknown
	Male	Fem	Unkno wn						
A.									
B.									
C.									
D.									
E									

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

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

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

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

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

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

Summary A

Name _____

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

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

List names of institutions. Use additional sheet if necessary.

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

List names of sources:

Form prepared by: _____

phone extension _____

Route in order of approvals**APPROVALS:**_____
Department Chairperson_____
Date signed_____
Dean/University Librarian_____
Date signed_____
Director of Equal Opportunity_____
Date signed**Please attach to this form:**

- 1) Recruitment Plan (form V-13)
- 2) One photocopy of each ad as appeared in journals
- 3) Mailing lists (if any)
- 4) Other relevant recruitment info
- 5) One copy of vita of *each* finalist

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

Recruiting Department/ORU	Name of Recommended Appointee	
Title	Today's Date	Position Number
Area of Specialization	Ethnicity	Gender
Effective Date of Appointment	End Date of Appointment	

1. APPLICANT POOL DATA

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

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

2. Number of applicants who voluntarily identified themselves as:

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

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

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

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

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

Form prepared by: _____

Phone extension: _____

Route in order of approvals

APPROVALS:

Department Chairperson/Director

Date signed

Control Point*

Date signed

Director of Equal Opportunity

Date signed

Please attach to this form:

- 1) Recruitment Plan (form V-13) with text of ad
- 2) Mailing lists (if any)
- 3) Other relevant recruitment info.

*Control point signatures:

Type of appointment

signature required

Lecturer

College/Divisional Dean

Researcher, Specialist
Project Scientist

Office of Research

Postdoctoral Scholar

Graduate Division

Academic Coordinator

College/Divisional Dean or Academic Personnel as appropriate

ACADEMIC COORDINATOR

(Revised 04/09 09/10)

I. Definition

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

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

II. Rank and Step

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

III. Appointment Criteria

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

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

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

1. Academic Coordinator I:

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

2. Academic Coordinator II:

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

3. Academic Coordinator III:

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

assumption of greater responsibility than typically delegated to Academic Coordinators at other levels.

IV. Term of appointment

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

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

V. Advancement

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

- A. Merit increases will normally occur once every 2 years at Rank I and II and once every 3 years at Rank III. A personnel review must be conducted at least once every two years at Rank I and II and at least once every three years at Rank III. If advancement is not justified, a recommendation of "no change" may be made.
- B. All merits and promotions will be effective July 1. Completed cases must be submitted to the appropriate control point by May 1, preceding the effective date.
- C. Advancement from one step to the next is based on merit. Promotion to a higher rank will require significant change in the scope and complexity of the program administered.
- D. A request for merit advancement will require evaluation of the candidates performance and activity in the areas of: a) Coordination of the Academic Program, b) Professional Competence, and c) University and Public service. A request for promotion must also address the change in scope and complexity of the program administered. An updated job description must be included with each request for merit, promotion or reappointment.

V. Approval Authority

Action

New appointments

Authority

Associate Vice Chancellor for Academic Personnel

Reappointments and merits

Dean or Associate Vice Chancellor for Academic
Personnel, as appropriate

Promotions

Associate Vice Chancellor for Academic Personnel

**DOCUMENTS TO BE SUBMITTED BY THE CHAIR
ACADEMIC COORDINATORS**

(Revised ~~07/07~~ 09/10)

APPOINTMENTS

- I. **Departmental letter of recommendation**
Accurate and analytical letters of recommendation from the department are essential in the review process. See Red Binder I-35 for further detail of content of departmental recommendations:
 - ☐ Are the dates of the appointment, rank and step all clearly stated?
 - ☐ Is the recommended salary on the published salary scale?
- II. **Complete CV and UCSB Academic biography form**
 - ☐ Is the CV up to date?
 - ☐ Is the UCSB Academic biography form complete, signed and dated?
- III. **Job Description**
 - ☐ Does the job description addressed program scope and complexity, degree of independence, budgetary responsibility, level of professional accomplishment required and scope of impact on the campus mission (See APM 375, Appendix A)?
- IV. **Copies of other supportive documentation**
 - ☐ Has a representative sampling of supporting documentation been submitted?
- V. **Affirmative Action Summary. (original only)**
 - ☐ Has the "Summary B" form been completed, signed, and approved by the Office of Equal Opportunity?
 - ☐ If an exception to open recruitment is being requested, has it been approved by the Office of Equal Opportunity?

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

REAPPOINTMENTS

- I. **Departmental letter of recommendation**
Accurate and analytical letters of recommendation from the department are essential in the review process. See Red Binder I-35 for further detail of content of departmental recommendations:
 - ☐ Are the dates of the appointment, rank and step all clearly stated?
 - ☐ Is the recommended salary on the published salary scale?
- II. **Job Description**
 - ☐ Is an updated job description included if there have been changes since the last review?
 - ☐ If there have not been changes in the job description, does the departmental letter state that fact?
- III. **Affirmative Action Summary (if necessary)**
 - ☐ Has the "Summary B" form been completed, signed, and approved by the Office of Equal Opportunity?

☐ If an exception to open recruitment is being requested, has it been approved by the Office of Equal Opportunity?

Recruitment Packet (original only)

☐ If required by Red Binder VII-I, III has the Academic Recruitment Packet been included?

MERITS AND PROMOTIONS

I. Departmental letter of recommendation

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

- ☐ Is the letter signed and dated?
- ☐ Is the letter an accurate, extensive, and **analytical** representation of the case?
- ☐ If there is a recommendation for an acceleration, are the reasons for the acceleration specifically stated?
- ☐ In the case of a negative departmental recommendation, is the basis of the recommendation clearly documented?

II. Updated CV or Bio-bib, following format in Red Binder I-28

- ☐ Is the CV up to date?
- ☐ Is the Bio-Bib in the proper format?
- ☐ Is the Research section a **cumulative** list of publications (or creative activities) with a line drawn separating all new items from where the bio-bib from the last review case had ended?
- ☐ Are the numbers the same as in the previously submitted bio-bib, and have items previously listed as "In Press", "Submitted" been accounted for?
- ☐ Are all items, including "In Press", "Submitted", and "In Progress" properly numbered?
- ☐ If sections other than Research are cumulative, are lines drawn showing what is new since the last successful review?

III. Job Description

- ☐ Is an updated job description included if there have been changes since the last review?
- ☐ If there have not been changes in the job description, does the departmental letter state that fact?

IV. Safeguard Statement (RB III-5).

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

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

V. Copies of supportive documentation

- ☐ Has a representative sampling of supportive documentation been submitted?

III-28
CURATOR
(05/10 09/10)

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

V-10
ASSISTANT AND ASSOCIATE UNIVERSITY LIBRARIANS
(10/ 10)

I. Definition

The titles in this series are used for academic appointees who provide top-level professional and administrative services to the University libraries as officers assisting the University Librarian.

II. Ranks and Steps

There are no steps within ranks of Assistant and Associate University Librarian.

The titles of Acting Associate Librarian and Acting Assistant Librarian may be used only for individuals on temporary assignments.

III. Appointment Criteria and Process

The candidate will normally hold a professional degree from a library school and have considerable subsequent experience as a professional librarian. Demonstrated superior professional ability and attainment are indispensable qualifications for appointment to either rank in the series. Appointees may be assigned authority for management of a section of the library or of a major functional area of library administration

Appointees as Assistant University Librarian will have major responsibility for assisting with planning and managing library operations.

Appointees as Associate University Librarian will have high level responsibility in the planning and management of the operation of the library or libraries of the campus. An Associate University Librarian is expected to be capable of functioning as deputy for the University Librarian when necessary.

Appointment cases are to be prepared by the University Librarian according to the checklist in V-11. The case is forwarded to the Associate Vice Chancellor for Academic Personnel.

IV. Advancement Criteria and Process

Reviews will be based on the criteria outlined in APM 365 including:

- A. Qualifications and accomplishments consistent with the planning and management of operations of the University Library or Libraries.
- B. Professional competence and quality of service within the Library
- C. University and public service; and professional activities outside the Library
- D. Research and other creative activity

The candidate will submit a memo to the University Librarian describing contributions and accomplishments during the review period, and may include any other relevant documents such as publications, evidence of presentations or other such materials. The candidate and the University Librarian will discuss the option of soliciting letters of recommendation for the case. If the result of this discussion is a decision to solicit letters, the candidate will submit a list of potential reviewers to the University Librarian who will then make the final determination of individuals to be asked for letters. The University Librarian may also solicit letters from individuals not on the candidates list but must notify the candidate if this option is exercised. The candidate may also provide names of persons who, in the view of the candidate, and for reasons set forth, might not provide objective evaluations.

Merit increases are not automatic but rather must be justified by the quality of professional and

administrative service rendered by the appointee.

Advancement cases are to be prepared using the checklists of documents to be for AUL merits and promotions (Red Binder V-11). All advancement actions are based on the individual's achievements. Merit increases are based on the record since the time of last review while promotions are based on the career record.

The normal period of service between reviews is two years for an Assistant University Librarian and three years for an Associate University Librarian.

Merit increases will normally be 7% for a routine, on time merit. Requests for increases of more than 7% must include evidence of excellence and performance beyond the expected standards for the position.

Promotion from Assistant University Librarian to Associate University Librarian must be justified not only by excellence of service and attainments, but also by demonstrated professional growth and accomplishment and/ or the assumption of greater responsibility.

All merits and promotions will be effective July 1. Completed cases must be submitted to the Academic Personnel Office by May 31. Cases received after the due date will be returned to the Library and will not be processed. A missed deadline may not be used as justification for retroactivity in a future review.

Deferral will be automatic if an AUL does not submit material by the departmental due date and no case is forwarded by the library, with the exception of mandatory reviews.

Appointees must undergo a performance review at least once every five years, including an evaluation of the complete record since last review. This review may not be deferred. If the candidate does not turn in materials by the library due date, the University Librarian will conduct the review based on the materials available as of the due date.

In cases where the final decision is a lesser advancement than recommended by the department, a reconsideration may be requested. Procedures outlined in Red Binder I-10 must be followed.

V. Compensation and term of appointment

- A. Appointment as Assistant or Associate University Librarian is for an indefinite term.
- B. The effective date of merits and promotions will be July 1.
- C. Salaries must be within the established ranges on the annually published salary scales from Office of the President. Exceptions above the maximum will require further review and approval by the Executive Vice Chancellor.
- D. Salaries are subject to range adjustment.
- E. Appointees accrue vacation and sick leave in accord with APM 710 and 730
- F. If an appointee is to be terminated, the conditions outlined in APM 365-20 must be followed. Termination due to lack of work or lack of funds requires at least one month's notice. Termination due to conduct or performance of duty such that immediate dismissal is justified requires no notice. Termination for any other reason requires four months notice if the appointee has less than one year of service, and six months notice if the appointee has one year or more of service. Assistant and Associate University Librarians are covered by Red Binder III-35 and APM 140 Grievance Policies for Non-

Senate Academics.

VII. Approval Authority

Action

All Actions

Authority

Associate Vice Chancellor, Academic Personnel

V-11
**DOCUMENTS TO BE SUBMITTED BY THE UNIVERSITY LIBRARIAN
ASSISTANT & ASSOCIATE UNIVERSITY LIBRARIANS**
(Revised 10/ 10)

APPOINTMENTS

- I. **Letter of recommendation**
Accurate and analytical letters of recommendation are essential in the review process.
☐ Are the start date of the appointment and the salary clearly stated?
☐ Is an analytical analysis of the person's qualifications included?
- II. **Complete CV and UCSB Academic biography form**
☐ Is the CV up to date?
☐ Is the UCSB Academic biography form complete, signed and dated?
- III. **Copies of other supportive documentation**
☐ Has a representative sampling of supporting documentation been submitted if appropriate?
- IV. **Affirmative Action Summary.** (original only)
☐ Has the "Summary A" form been completed, signed, and approved by the Office of Equal Opportunity?
☐ If an exception to open recruitment is being requested, has it been approved by the Office of Equal Opportunity?

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

MERITS AND PROMOTIONS

- I. **University Librarian letter of recommendation**
Accurate and analytical letters of recommendation are essential in the review process.
☐ Is the letter signed and dated?
☐ Is the letter an accurate, extensive, and **analytical** representation of the case?
☐ Are both the type of recommendation (merit, promotion, no change, other) and the justification for the recommendation clearly stated?
☐ In the case of a negative recommendation, is the basis of the recommendation clearly documented?
- II. **Updated UCSB Academic Biography form**
☐ Is the UCSB Academic biography form complete, signed and dated?
- III. **Safeguard Statement (RB III-5)**
A signed safeguard must be forwarded with each departmental recommendation. If it is difficult or impossible to obtain this document, the University Librarian should explain the situation and indicate in what manner he/ she has attempted to meet the requirements outlined in the form.
☐ Is it signed and dated?
☐ If there are confidential documents (e.g. letters of evaluation), the appropriate box under #5 and #6 should be checked.
- IV. **Candidate's self evaluation**
☐ Does the evaluation cover the accomplishments and contributions for the full review period?

V. **Letters of evaluation**

If letters were solicited

- ☐ Are copies of all letters received included?
- ☐ Is a list of letter writers, including a brief biography, and indicating who selected the writers included?
- ☐ Was the candidate provided with redacted copies of the letters?

VI. **Copies of supportive documentation**

- ☐ Has a representative sampling of supportive documentation been submitted if appropriate?

V-15
LIBRARIANS
(09/10)

The system-wide policy for Librarians is set forth in Academic Personnel Manual (APM) 360. Librarians who are not supervisory, management, or confidential are represented by the American Federation of Teachers (AFT) and as such are also covered by the Memorandum of Understanding between the University and the AFT. At UCSB, the application of these policies is available under the listing of "Procedures for Appointment and Review, Librarian Series" and "Procedures for Review and Advancement in the Librarian Series for Represented Librarians" at the following Library web site: <http://www.library.ucsb.edu/lauc/>

Emeritus Status for Librarians

A. Eligibility

Members of the Librarian Series are eligible to be nominated for emeritus status upon retirement. In compliance with [APM-120](#), as non-Senate academic appointees, nominees shall be evaluated according to the following criteria:

- The nominee shall have at least ten years of University service.
- The nominee shall have attained the highest rank in the individual's title series. (For librarians, this means attainment of the rank of Librarian.)
- The nominee shall show evidence of noteworthy and meritorious contributions to the educational mission and programs of the University.

B. Privileges

1. Library privileges are the same as those of other emeriti, i.e., those of an active academic employee: extended borrowing privileges; interlibrary loan privileges; and a library card that allows proxy server access to online resources restricted to UCSB users.
2. Library network access: a free e-mail account shall be retained on the library's server.
3. Campus network access (through a campus Directory account): a free UCSBnetID account shall be retained.

C. Procedures

1. A request for nomination shall be initiated either by the candidate or by any member of the Librarians Association of the University of California (LAUC) upon or within two years following retirement. If the request for nomination is made upon retirement, it shall be accompanied by a signed statement from the candidate stating the intention to retire on a given date, or the date of retirement.

2. The candidate shall prepare the file consisting of an updated Biography form and updated Biography Supplement, and an outline of the noteworthy and meritorious contributions achieved during the candidate's career.
3. The file shall be submitted to the University Librarian. The University Librarian shall make a decision on nominating the candidate, and if favorable will submit the nomination to the Associate Vice Chancellor for Academic Personnel for approval. The nomination shall include the candidate's file and the University Librarian's recommendation.

Compiled by LAUC-SB Executive Board, December 14, 2009

Approved by University Librarian, Brenda Johnson, January 21, 2010

V-25
FACULTY ADMINISTRATORS

Faculty Administrative titles require that the appointee hold an underlying academic title. Most often the title will be an Academic Senate title, but individuals from other series may also be appointed. Use of all titles requires prior approval as indicated in the following sections.

Appointment to a Faculty Administrative position is subject to approval by the Chancellor or the Executive Vice Chancellor and is governed by the applicable Academic Personnel Manual Policy and Campus policy.

Individuals appointed to a full time administrative position are not subject to the mandatory five year review on the Professorial title, but will be reviewed in the administrative position once each five years as required by Senior Management Group and Academic Personnel Manual policy. Individuals compensated via an administrative stipend will continue to be subject to review on their Professorial title. Red Binder I-67 provides guidance concerning evaluation of administrative service in the personnel process.

The titles of Chancellor, Executive Vice Chancellor, Vice Chancellor, and University Librarian are covered by Senior Management Group policies.

Appointees to Faculty Administrative titles maintain their underlying academic title and all rights associated with the underlying academic title.

DEANS AND FULL TIME FACULTY ADMINISTRATORS

The system-wide policy for Deans is set forth in Academic Personnel Manual (APM) 240. The system-wide policy for Full time Faculty Administrators is set forth in Academic Personnel Manual (APM) 246. At UCSB, the application of these policies is outlined in the following:

I. Definition

An academic Dean, Acting Dean, or Interim Dean is head of a Division, College, School, or other similar academic unit and has administrative responsibility for that unit. As academic heads of their units, Deans are persons of scholarly and professional accomplishment. The University encourages their continued engagement as academicians in scholarly, professional, teaching, and University service activities, consistent with, but distinct from, their decanal responsibilities. Therefore, it is appropriate for time to be allotted to them to engage in these activities. University Extension Deans are not covered by this policy.

Faculty Administrators who are appointed at 100% are primarily responsible for administrative duties but maintain their underlying Academic Senate faculty appointment. Faculty may be appointed to 100% administrative positions into the following titles:

Associate Vice Chancellor

Associate Dean

Appointees in these titles assume a portion, or specific function of the duties assigned to the respective Vice Chancellor or Dean and may act in their behalf as requested.

II. Terms of service

Deans and 100% Faculty Administrator appointments will be full time positions and will be for a period of up to five years, subject to reappointment. Appointments are made on a fiscal year basis. Appointment as Acting or Interim will normally be for a one year period, subject to reappointment, and may be on either an academic or fiscal year basis, as determined by campus need.

The Executive Vice Chancellor will conduct an annual assessment of each Dean and 100% Faculty Administrator and will communicate the key components of the assessment to each appointee. In addition, the Executive Vice Chancellor shall conduct a five-year review of each Dean and 100% Faculty Administrator, in accord with APM 240-80 b. (1), APM 246-80 b, and campus procedures. The administrative review process is separate and distinct from the academic merit process.

Appointees to the titles covered by this policy are at will and individuals serve at the discretion of the Chancellor. Termination of an administrative appointment does not affect the underlying faculty appointment.

III. Salary administration**A. Establishment of salary:**

Deans will be paid within the salary bands established by the Office of the President.

Initial salaries will be based on prior relevant administrative experience, market factors,

comparable positions on campus or within the UC system, and the individual's professorial salary. At all times the administrative salary must remain greater than the professorial salary.

A full time Faculty Administrator's initial salary will be based on the following factors, as applicable: prior relevant administrative experience, market factors, comparable positions on campus or within the UC system, and the individual's professorial salary.

B. Merit increases:

Deans and 100% Faculty Administrators are eligible for consideration of a merit increase associated with the administrative salary on an annual basis, based on Office of the President directive following the system-wide budgetary process. A candidate must have been appointed by April 1 to be eligible for merit in the subsequent cycle. Merits are normally effective October 1.

The amount of merit increase will be based on the annual assessment, the candidate's current position within the salary range and relative to other internal positions, and the availability of funding

C. Other salary increases:

The Chancellor is authorized to approve pay increases based on equity, retention, or at the time of a five-year review in accord with APM 240-18 c. and 246-18 c. Equity or retention increases will be effective on the same date as the administrative merit, to the extent possible, with the merit applied first. The equity or retention portion will be applied only if the merit increase does not resolve the inequity or retention issue. If an equity or retention increase has occurred mid year, the next merit increase will be calculated on the salary prior to the equity or retention increase and applied only if the resulting merit results in a higher salary.

D. Additional Compensation:

A Dean or 100% Faculty Administrator may receive up to 1/12th payment for summer research or for summer session teaching in exchange for accrued vacation days. Vacation days may not be used in advance of accrual. Individuals holding an Acting or Interim appointed on an academic year basis may receive summer compensation, not to exceed 3/9ths, exclusive of stipends.

IV. Conflict of Commitment and Outside Professional Activities

Deans and full time Faculty Administrators are subject to APM- 025 and Red Binder I-29 with the following additional provisions:

(1) A Dean or full time Faculty Administrator may serve on no more than three for-profit external boards (for which he or she receives compensation and for which he or she has governance responsibilities.

(2) All outside professional activities, including compensated consulting activity, shall be reported annually to the Executive Vice Chancellor.

(3) A Dean or full time Faculty Administrator may in each fiscal year engage in a maximum of 48 calendar days of compensated outside professional activity. The first 12 days per fiscal year do not require use of vacation time. Days in excess of 12 require use of accrued vacation leave, which must be used in full day increments.

V. Leaves

Deans and full time Faculty Administrators accrue and use vacation in accordance with APM-730, at a rate of 16 hours per month for a full time, fiscal year appointment. Vacation is used in full day increments only. Time cards are to be kept up to date on a monthly basis and submitted to Academic Personnel at the end of each fiscal year for review and approval by the Executive Vice Chancellor.

Deans may be granted a transition leave immediately following the conclusion of the service as Dean. The leave will be paid at either the current administrative or the faculty rate, dependent on when the sabbatical leave credits were accrued. Transition leave is subject to the conditions of APM 240-60 e.

Deans and full time Faculty Administrators do not accrue sick leave. However appointees will be granted paid medical leave for periods of personal illness, injury, or disability, in accordance with APM 710-11. All other faculty leave policies are applicable to Dean and full time Faculty Administrator appointments (Red Binder VI-1).

VII- 31
FACULTY ADMINISTRATORS LESS THAN 100% TIME

The system-wide policy for Faculty Administrators who are appointed at less than full time is set forth in Academic Personnel Manual (APM) 241. The system-wide policy for Department Chairs is set forth in Academic Personnel Manual (APM) 245. At UCSB, the application of these policies is outlined in the following:

I. Definition

A faculty member who is appointed to assume administrative responsibility in addition to, or in partial replacement of his or her faculty responsibilities is considered a Faculty Administrators at less than 100% time. Normal scholarly activity is expected to continue at a proportionate level that would allow for normal progression in the faculty member's academic series. Faculty may be appointed to less than 100% time administrative positions into the following titles:

Associate Vice Chancellor, Associate Dean
Department Chair, Department Vice Chair
Director, Associate Director
Faculty Advisor
Dean of Summer Session or Extended Learning
Interim or Acting in any of the above

II. Terms of service

Faculty Administrator appointments at less than 100% time may be for a period of time up to five years, subject to reappointment. Appointment as Acting or Interim will normally be for not more than a one year period, subject to reappointment.

The Executive Vice Chancellor shall conduct a five-year review of each less than 100% time Faculty Administrator to determine if reappointment to another term is warranted. The administrative review process is separate and distinct from the academic merit process.

Appointees to the titles covered by this policy are at will and the individual serves at the discretion of the Chancellor. Termination of an administrative appointment does not affect the underlying faculty appointment.

III. Salary administration

A. Establishment of salary:

Less than 100% time Faculty Administrators will normally be compensated with stipends. Stipends are not subject to general range adjustments. Stipend rates will be determined based on the scope of the responsibilities of the position.

B. Additional Compensation:

Faculty Administrators at less than 100% time may earn summer additional compensation, not to exceed 3/9ths, exclusive of stipends.

- C. Faculty Administrators are limited to one administrative stipend at any given time. Exceptions may only be approved by the Executive Vice Chancellor and will occur only in rare and unusual circumstances.
- D. Periods of leave:
Administrative stipends will not be paid during periods of sabbatical leave or other extended leaves of absence. If necessary, an acting administrator may be appointed during the term of the leave. In some cases administrative service may be substituted for the teaching requirement of a sabbatical leave in residence (Red Binder VI-2.)

IV. Appointment process

The Executive Vice Chancellor has authority for all appointments into Faculty Administrator positions at less than 100% time. Appointment and reappointment requests are to be addressed to the Executive Vice Chancellor, via the appropriate control point (e.g. Dean, Vice Chancellor) for comment and recommendation.

Department Chairs

University policy specifies that faculty participate in the selection of Chairs of departments (APM- 015, I 4 (d)). At UCSB this consultation is carried out by the Dean prior to his or her recommendation to the Executive Vice Chancellor and the Chancellor.

As part of this consultation, in the event of a vacancy or anticipated vacancy in the Chair of any department, the Dean will officially inform the department of the circumstances and request that it determine whether or not it wishes to conduct a departmental vote. The department may conduct such a vote in any manner that it deems proper, provided that it does not abrogate any faculty member's right to express a private position on the matter directly to the Dean or the Vice Chancellor, should any member wish to do so. The Dean and Vice Chancellor will duly consider the results of any such vote and any such private communication in determining their recommendations on the appointment of the new Chairperson.

It is customary University practice that most Departmental Chairs serve terms of from three to five years. The replacement of a Chair before the completion of this normal term can be initiated by the Chancellor, the Executive Vice Chancellor, the Dean or the department. If initiated by the department, a recommendation will be forwarded to the Dean requesting that a change be considered. If initiated by the Chancellor, EVC, or the Dean, wide and timely consultation with the tenured faculty of the department will take place prior to a decision.

Directors

Appointments as Director of an Organized Research Unit (ORU) or of a Multi-campus Research Unit (MRU) may require consultation with the Advisory Committee of the unit, in accord with APM 241-24. Requests are to be forwarded via the Vice Chancellor for Research to the Executive Vice Chancellor.

V. Duties of the Department Chair

The Chair of a Department of instruction and research is its leader and administrative head. The duties of the Chair are as outlined in APM 245, appendix A:

<http://www.ucop.edu/acadadv/acadpers/apm/apm-245.pdf>

In addition, the Chairpersons is expected to participate in and assist in carrying out the policies and administrative decisions required for implementation of labor agreements covering academic employees, including Non-Senate Faculty, Graduate Student Employees and Postdoctoral Scholars.

OTHER ADMINISTRATIVE APPOINTMENTS

Service to the Campus and University is an integral part of an appointment to a faculty position and as such is an expected aspect of a faculty member's responsibilities. In rare circumstances it may be appropriate to compensate faculty for short term administrative assignments other than those listed in Red Binder V-31. Compensation for such service will normally be made via an administrative stipend. Stipends are not subject to general range adjustments. Faculty are limited to one administrative stipend at any given time (including stipends for Faculty Administrators at less than 100% time). Exceptions may only be approved by the Executive Vice Chancellor and will occur only in rare and unusual circumstances.

Academic Senate

It is expected that faculty will participate in the administration of the University through participation on Senate committees. Administrative stipend appointments may be made for Senate service that demands commitment that exceeds the normal expectation of campus service by a faculty member, for example, Chair or Vice Chair of the Academic Senate. The Chancellor has authority for approval of Administrative stipends for Academic Senate appointments.

Other service

The Executive Vice Chancellor has authority to approve other short-term administrative assignments such as Chair of the Program Review Panel (PRP) or WASC Liaison Officer. Stipends rates will be determined based on the scope of the responsibilities of the assignment.

VI-3
SICK LEAVE
(Revised ~~09/08~~ 09/10)

Academic appointees do not accrue sick leave credit with the exception of certain groups listed below and in APM 710-14. Academic appointees who accrue sick leave shall maintain proper records to show accrual and usage of sick leave credit. In the case of illness of appointees who do not accrue sick leave, leave with pay up to the maximums described in APM 710-11 a and b may be approved by the Dean. Leaves in excess of the APM maximums require approval of the Associate Vice Chancellor for Academic Personnel.

A. The following are eligible to accrue sick leave credit provided the appointment is at fifty percent or more time:

- Professional research series
- ~~Postgraduate Research series~~
- ~~Visiting Postdoctoral~~
- Postdoctoral Scholar (employee, fellow and paid direct)
- Specialist series
- ~~Project Scientist series~~
- Librarian series
- Associate and Assistant University Librarians
- ~~Continuing Education Specialist~~
- Continuing Educator
- Academic Administrator
- Academic Coordinator

B. Appointees who accrue sick leave accrue at the rate of one working day per month for full-time service, including periods of leave with pay other than terminal vacation. Accrual for part time employees is based on the percent time on pay status during the month. See RB VI-8 for accrual codes.

C. Use of accrued sick leave is defined in APM 710-20.

D. An academic appointee who does not accrue sick leave may apply for up to one quarter of leave with pay due to illness at a time. A physician's statement assessing the prognosis for return to duty may be requested prior to approval of the leave. Should the illness require an extension beyond the initial quarter of leave with pay, a physician's statement must be provided with the request for extension. Exceptions beyond the APM maximums will be considered on an individual basis. At no time may paid medical leave exceed three consecutive quarters.

E. Accrued sick leave may also be used to care for an ill child, parent, spouse, or domestic partner. Appointees who do not accrue sick leave may request up to one quarter of leave with pay for the care of an ill child, parent, spouse, or domestic partner.

F. Sick leave that is granted for a serious health problem, or to care for a parent, child, spouse or domestic partner with a serious health problem may also be covered as a Family and Medical Leave (APM 715). Family and Medical leave will normally run concurrently with approved sick leave.

VI-10
ADDITIONAL COMPENSATION
(Revised 04/ 10)

General Policies

Reference: APM 660

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

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

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

<u>Type of service</u>	<u>Summer</u>	<u>Academic Year</u>
Summer Session Teaching (SSC)	allowed	not allowed
University Extension and Off-Campus Studies teaching (UNX)	allowed Subject to APM 025 limits	Subject to APM 025 limits
Faculty consultant services (FCA)	allowed	allowed
Lectures and similar services at other than home campus (Inter-campus one time payment form)	allowed	allowed up to \$1,500 \$2,000 per event to a total of 10% of the annual salary
Extramurally funded research (ACR off-quarter, REG academic year)	allowed	allowed only as release time
Fellowship or other University awards (ACM off quarter, REG academic year)	allowed	allowed only as release time
Department Chair Stipends (STP)	allowed	allowed

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

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

Charts and PPS codes

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

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

Dates for 2009 Additional compensation

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

Dates for 2010 Additional compensation

<u>Month</u>	<u>Number of Days</u>	<u>% time 19900</u>	<u>%time grants</u>
June 12-30	13	.5909	.6842
July 1-31	22	1.0000	1.1579
August 1-31	22	1.0000	1.1579
Sept 1-17	13	.5909	.6842

VI-14
EXTRAMURALLY FUNDED RESEARCH
(Revised 06-07 09/10)

Academic appointees who hold a title other than those listed in Red Binder VI-10 and are paid on a 9/12 basis may receive additional compensation during the summer period. The appropriate salary scale to be used is titled "Professional Research Series, Academic Year."

The one ninth rate must be used when the research to be performed will be compensated from a grant which has a beginning date later than the begin date of the one twelfth pay period. For example, if compensation is to be made from a grant which has a begin date of October 1, the 1/9th pay period of October-December must be used instead of the 1/12th pay period of 7/1-10/31 since the grant was not funded as of July 1.

Payment During the Academic Year

During the academic year a faculty member may not use grant funds to earn in excess of his or her regular 100% salary. The faculty member may, however, use the grant funds in place of a portion, or all, of his or her regular state funded salary for a limited amount of time. This is called a release to grant, it is **not additional compensation**. The salary being paid from the grant funding must be paid under a Professional Research title, rather than the Professor title. Payments are made on the same basis and at the same pay rate as the Professor appointment (9/12). The DOS code used is REG.

Payment during the summer:

During the summer a faculty member may earn additional compensation from extramural contracts and grants. The payments are made using the Professional Researcher- 1/9th title code and pay rate and the DOS code ACR. Additional compensation from a grant during the summer period is calculated using the "Daily Factors" (19-day) Chart. This chart is used to determine the number of summer days that will be used to make the payments. Each day during the summer can only be used once and the total percent time for each day may not exceed 100%. (Red Binder VI- 12)

NIH funding restrictions:

For faculty earning summer compensation from NIH sources, the NIH salary cap must be observed. If the NIH cap figure is lower than the faculty member's annual salary rate, it will not be possible to earn a full 3/9ths from the NIH grant. The NIH cap figure must be used as the annual rate for the summer payments, and the 19-day chart and the maximum of 57 days must still be observed. *Funds subject to the NIH cap are paid out using the DOS code of ARC with a distribution rate of 1/9th of the NIH cap figure.*

It is possible for the faculty member to receive summer compensation from other sources as long as the total does not exceed 3/9ths. Additional sources may include; summer session teaching, chair stipends or payment of an NIH salary supplement (title code 3998). The salary supplement may not be paid from contract or grant funds. Acceptable supplement sources include gift or endowed chair funds or other unrestricted funds. *NIH salary supplements are paid on a flat rate basis using the DOS code of AAC.*

VI-17
OTHER ADDITIONAL COMPENSATION
(Revised ~~05/10~~ 09/10)

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/ 1pay 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.

Full time fiscal year employees wishing to teach Summer Session classes may not earn additional compensation. The regular employment must be reduced to accommodate the Summer Session teaching so that total employment does not exceed 100% time

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 **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.

When University awards such as the FCDA and Regents' Fellowships are granted, the Department will be instructed as to the proper payment methodology. The DOS code of ACM will be used for percentage based (1/9th) awards, and the DOS code of AMN will be used for flat rate awards.

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 and Director stipends

Department Chairs and Directors are paid a monthly stipend with a DOS code of STP on an 11/12 basis at the rate approved by the Executive Vice Chancellor. Red Binder V-31 provides further detail regarding part-time administrative appointments. Chair and Director stipends paid during the summer months do not count towards the 3/9^{ths} limit.

VII. Start-up or retention 19900 funded summer salary

Faculty may be awarded state funding for use as summer salary as part of either their recruitment package or as part of a retention effort. Summer salary paid from 19900 funding is to be paid using chart #2 (Red Binder VI 13) on a full month basis. A full month at 100% will be used to pay 1/9th. The 57 day limit does not apply to summer salary paid on 19900 funds, but the 3/9^{ths} limit on total dollars paid in the summer does apply.

VIII. Dean summer research compensation

In accord with Red Binder V-28 III D. Deans may be paid summer research funds in exchange for vacation time. Payments are to be made using the Dean title code, the 1/12th rate as the distribution rate, and the DOS code of AFR.

IX. Other Summer Additional Compensation

Occasionally payment for other non-teaching, non-research work may be appropriate. In such cases the Academic Personnel office should be consulted to determine the appropriate title code and DOS code to be used.

VII-1

POLICIES ON OPEN RECRUITMENT FOR ACADEMIC APPOINTMENTS

(Revised 04/08)

I. References

A. The current Affirmative Action policies and procedures have evolved over many years of implementation at UCSB. While not included here, the Office of Equal Opportunity keeps main historical records that provide the background for the current policies, procedures and practices. Copies of these historical records may be obtained by calling 893-2701.

B. University of California Affirmative Action Guidelines for Recruitment and Retention of Faculty, Office of the President, Academic Advancement, January 2, 2002.
<http://www.ucop.edu/acadadv/fgsaa/affirmative.html>

II. I. Academic Titles Covered by Open Recruitment Policies

Academic titles that are covered by this policy included, including but not limited to the following series:

- Professor, Associate Professor, Assistant Professor All Ladder faculty, (including Acting)
- Lecturers and Senior Lecturers with Security of Employment or Potential Security of Employment
- Supervisor of Physical Education
- Academic Administrator
- Academic Coordinator
- Librarian and University Librarian
- Non-Senate Faculty (Lecturers and others) Academic titles covered by the Unit 18 MOU memorandum of Understanding
- Continuing Education Specialist--University Extension
- Continuing Educator--University Extension
- Professional Research (including Visiting)
- Project Scientist (including Visiting)
- Specialist

II. Recruitment types and requirements

As appropriate, a Department will recruit both within and outside the workforce to obtain diverse pools of qualified applicants.

External Recruitments are open to all applicants and are listed in various off-campus publications and the Job Bulletin. Typically, external recruitments generate the largest and most diverse applicant pools consistent with the campus commitment to equal opportunity and diversity. The open recruitment period must be minimum of 2 weeks, although longer time periods are preferable as indicated in Red Binder VII-4 B and VII-5 A.

In some unique situations, internal recruitment may be utilized so long as it is consistent with equal employment and affirmative action objectives and results in a diverse pool of qualified applicants. Internal recruitment requests require consultation, prior to the being of the recruitment, with the Office of Equal Opportunity & Sexual Harassment / Title IX Compliance.

Recruitments may be conducted in the following ways:

Single Hire—a **one-time** recruitment effort in which one applicant is hired. A single-hire recruitment may be advertised for the duration of the recruitment, usually up to one to two years.

Multi Hire—a **one-time** recruitment effort in which multiple applicants are hired. A multi-hire recruitment may be advertised for the duration of the recruitment, usually up to one to two years.

Pooled Recruitment—a long-standing recruitment effort in order to fill single or multiple positions at various times. Pooled recruitments may be advertised for no longer than one year. All pooled recruitment advertisements must be terminated on October 31, annually. If pooled recruitments need to be renewed, the department will need to complete the procedures outlined in the Policies on Open Recruitments for Academic Appointments. New advertisements may begin after November 1 of each year. This is to ensure compliance with federal data reporting requirements.

III. Open Recruitment **Requirements:**

A. **Policy for Non Unit 18 and Non-Senate Academic Titles**

An open recruitment is required when the academic appointment:

1. ~~reaches~~ **is** at least 50% of full time and
2. **is** for **more than** one academic or calendar year. **Both conditions must be met for the policy to apply.**

A new open recruitment is not required for reappointment without a break in service to the same position by the same individual.

Open recruitment is required for a temporary position where there is reasonable expectation of reappointment with the total consecutive appointments meeting the above conditions.

~~Example: Appointment A is originally at 50% time for two quarters. However, there is a possibility that this appointment may be extended for at least one more quarter (a third quarter) at 50% time. This policy requires an open recruitment for Appointment A at the time of original appointment.~~

B. **IV. Open Recruitment Policy for Unit 18 Academic Titles**

An open recruitment is required when a temporary academic appointment in a Unit 18 title may extend beyond a **third second** quarter in the same department, regardless of the percent of time or year of reappointment.

C.V. **Open Recruitment Policy for Senate Titles**

An open recruitment is required for all Academic Senate titles.

VI. IV. Exemptions from to Open Recruitment Policies

- A. **Appointment to Ladder rank faculty who hold temporary academic administrator positions by individuals already holding an academic appointment for a limited time (Director, Associate Dean, Dean).**

- B. **Recall appointments Ladder Rank Faculty Recalled.**

- C.. Visiting **titles (Professor, Researcher, or Project Scientist series) Ladder Rank Faculty**

- D. Appointees within Unit 18, who have previously undergone open recruitment in the same department for a Unit 18 position.
- E.. Positions requiring student status, e.g. teaching assistant, graduate student researchers.
- F.. The proposed appointee is the principal investigator or co-principal investigator of a grant/contract *or has been named in the grant/contract for a specific task*. Supporting *evidence need not be submitted but documentation* must be available in the departmental *recruitment* file.
- G. *Without salary* *Non-salary* appointments.
- H. Postdoctoral Scholar appointments.

VII. Exceptions to Open Recruitment Policies

An open recruitment, available to all qualified applicants, is a preferred hiring mechanism since it provides substantial assurance of the quality of the individual offered a position. However, special circumstances may on occasion justify an exception to open recruitment. *Some examples of special circumstances are:*

A. Non-Senate Titles

1. ~~A.~~ Unexpected circumstances resulting in insufficient time to recruit: (e.g., *funding becomes available only a short time before the begin date of appointment*, unexpected illness, leave of absence of faculty)
- B. ~~The proposed appointee, who is not a principal investigator or co-principal investigator, has been named in the grant/contract for a specific task.~~
2. ~~C. Initial hire or retention of ladder faculty member includes spousal or domestic partner employment.~~
Spousal or Domestic Partner Hire—the hire of a spouse or domestic partner in order to initially hire or retain a Senate faculty member
3. ~~D. An open recruitment is not likely to yield a better qualified applicant than the proposed candidate, who possesses the skills, knowledge, and abilities unique to the teaching assignment or research project, making him/her essential to its success.~~ *Unique Position—the need to fill a unique teaching assignment or research project in which the candidate, and no other, possesses the skills, knowledge and abilities, making him or her essential to its success*

To request an exception to open recruitment, the department prepares an Exception to Open Recruitment Request memo. The request should clearly:

- *State which category of exception to open recruitment is being requested;*
- *describe the reason for the request;*
- *indicate the intended duration of the exception; and*
- *explain how this hire will impact Equal Opportunity & Affirmative Action goals (please refer to the availability figures and placement goals for the positions).*

When applicable, the hiring department may submit a request for an exception to open recruitment policies. The request is submitted to the OEOSH/TC for review.

If the recommendation from the Director of OEOSH/TC is for approval of the exception, the signed request will be returned to the department for inclusion with the hiring paperwork. The administrator with authority for the appointment will also have authority for the final approval of the exception request.

If the recommendation from the Director of OEOSH/TC is for denial of the exception, the request will be forwarded on to the administrator with final approval authority for consideration, prior to the submission of the appointment packet.

- ~~For temporary teaching positions, the requests for exception are directed to the Dean, via the Director of Equal Opportunity.~~
- ~~For research titles, the requests for exception are directed to the Vice Chancellor for Research, via the Director of Equal Opportunity.~~

~~An exception to open recruitment policies with a specific end date is valid only for the duration granted. For reappointment after the exception has expired, the department must conduct an open recruitment or secure approval of a new exception to policy.~~

VIII. Exceptions to Open Recruitment for

B. Senate Faculty

1. ~~Spousal or Domestic Partner Hire—the hire of a spouse or domestic partner in order to initially hire or retain a Senate faculty member. The initial hire or retention of a Senate faculty member may involve a hire for a spouse or domestic partner. In addition,~~
2. Unanticipated opportunities—~~may arise for a ladder faculty appointment of~~ an individual whose unique qualifications and outstanding promise or accomplishment will make ~~such~~ an extraordinary contribution to the campus' goals of excellence and diversity. Such hires should normally be part of an open recruitment. However, in those instances when an FTE has not been approved to fill or an open search has not taken place, departments may request an exception to open recruitment.

The departmental letter ~~must include:~~ ~~should clearly state~~

1. which category of exception to open recruitment is being requested.
2. the department ~~must take a vote to on the~~ request ~~for~~ an exception to open recruitment ~~and the vote must be reported in the departmental request.~~
3. ~~The department's request must include a report of the departmental discussion of three major issues: 1) the candidate's qualifications; 2) the candidate's programmatic fit within the departmental academic plans; and 3) the source of the FTE and the impact of the appointment on the departmental FTE plan. The Dean should also address these three issues as well as the programmatic and budgetary impact within the department and on a divisional or college wide basis.~~
4. ~~discussion of how this hire will impact Equal Opportunity & Affirmative Action goals based on the availability figures and placement goals for the position~~

Requests for exception are directed to the Executive Vice Chancellor, via the Dean. ~~As part of his or her recommendation, the Dean should address the items outlined in #3 above, as well as the programmatic and budgetary impact within the department and on a divisional or college wide basis.~~

Requests will also be reviewed by ~~the following entities:~~
Director of Equal Opportunity

the Council on Planning and Budget

and the Committee on Academic Personnel.

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

(Revised 04/09 09/10)

- A. **FTE Retention Allocation:** Before initiating a search, the department chair should review Red Binder I-14 Faculty Appointments, and I-13 Retention of Academic FTE. The department must have prior approval from the *Executive Vice* Chancellor for the retention of the FTE provision to recruit for the position.

For other permanent academic positions (i.e. Librarians) appropriate approval for the use of the FTE must have taken place

- B. **Preparing the Advertising Packet:** This packet contains all relevant information on how the position will be advertised, the efforts to be made to ensure equal employment opportunity, and to reach a diverse applicant pool in which women and minorities are represented. At a minimum, the Advertising Packet must include:

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

Additional documents, when applicable:

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

Approval signatures:

- Director of Equal Opportunity
- Dean/ University Librarian

Processing Advertisements:

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

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

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

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

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

B. Recruiting

The recruiting department:

1. Determines the length of the recruitment period.
2. Determines the publications or recruitment sources to be used. Note: The ad must appear in at least one print (non-electronic) journal to satisfy Labor Certification requirements should the eventual hire be a non-US citizen.
3. Sets a realistic deadline for applications so that campus Equal Opportunity & Affirmative Action policy and procedures can be carried out without undue pressures (e.g., advertising time too short to attract a reasonable number of applicants or a diverse pool). It is the campus' goal that departments allow three months for advertising a permanent academic position.
4. Follows established departmental and campus procedures and review criteria for the application process.
5. Prepares the **Recruitment Packet – Part 1 – Recruitment Plan for Academic Vacancy** request, including one copy of the advertisement. This packet contains all relevant information on how the position will be advertised and the efforts to be made to ensure equal employment opportunity and to reach a diverse applicant pool in which women and minorities are represented.
6. Obtains the Department Chair's signature.
7. Obtains the Dean's signature.
8. Submits the **Part 1 – Recruitment Plan for Academic Vacancy** request, including one copy of the advertisement to the Office of Equal Opportunity & Sexual Harassment / Title IX Compliance (OEOSH/TC)

The Office of Equal Opportunity & Sexual Harassment / Title IX Compliance:

9. Reviews the request and returns to the department:
 - the approved form with a job number (for Senate Faculty positions the job number is the FTE provision number)
 - sample applicant acknowledgment letter, including invitation to complete the **Applicant Demographic Data Survey**

The recruiting department:

10. Submits the approved advertisement to Academic Personnel for posting on its website. Places any additional approved advertisements for the position. Retains all copies of advertisements as they appear in publications and on-line, including the duration of advertisements.

C. Processing Applications and interviewing

The recruiting department:

1. Upon receipt of application, sends the applicant a letter acknowledging receipt of materials, including an invitation to complete the **Applicant Demographic Data Survey**. Please note: It is the responsibility of the department to ensure each applicant receives an invitation to complete the **Applicant Demographic Data Survey**—this is to ensure compliance with federal affirmative action reporting requirements.
2. Obtains the relevant information to complete evaluations on applicants.
3. Completes the **Applicant Evaluation Summary**.
4. When an applicant pool does not contain sufficiently qualified people to fill a vacancy, it may become necessary to extend or reopen a search. The department is responsible for repeating the requisite steps as necessary.
5. Requests **Applicant Demographic Summary Data** from the OEOSH/TC.
6. Evaluates the applicant pool against availability figures and placement goals. If the pool does not reflect the availability figures, additional recruiting efforts might need to be undertaken. The department can discuss recruitment options with the OEOSH/TC.
7. Consults with the Dean's office to schedule the Dean review of the applicants. College requirements may vary.
8. Prepares the **Part 2 – Request to Interview Applicants** form, including the **Applicant Evaluation Summary**, capturing all recruitment activities up to this point.
9. Obtains the Department Chair's signature.
10. Submits the **Part 2 – Request to Interview Applicants** form, including the **Applicant Evaluation Summary** to OEOSH/TC.

The Office of Equal Opportunity & Sexual Harassment / Title IX Compliance:

11. Reviews and analyzes the form in light of availability, annual placement goals and the **Applicant Demographic Summary Data**
12. Forwards the **Part 2 – Request to Interview Applicants** form and the **Equal Opportunity Applicant Summary** to the Dean for approval.

The recruiting department:

13. Upon receiving the Dean's approval of **Part 2 – Request to Interview Applicants** form, contacts prospective candidates and invites them to campus for an interview. Additionally, ensures that the proposed interview schedule is appropriate and that it is applied uniformly to all candidates.
14. If after performing the first set of interviews additional applicants need to be interviewed, the department must repeat steps 2 through 10 of this section.

D. Equal Opportunity Hiring Proposal

The recruiting department:

1. Once a potential hire has been identified, fills out the **Part 3 – Equal Opportunity Hiring Proposal** form.
2. Obtains the Department Chair's signature.
3. Forwards the **Part 3 – Equal Opportunity Hiring Proposal** to the OEOSH/TC for review.

The Office of Equal Opportunity & Sexual Harassment / Title IX Compliance:

4. Reviews the recommended hire against the make up of the pool, availability figures and annual placement goals.
5. Returns the signed **Part 3 – Equal Opportunity Hiring Proposal** form to the department.

The recruiting department:

6. Forwards the form as part of the candidate's appointment case to the Dean's office for final approval.

V // 5
PROCEDURES FOR RECRUITMENT OF
TEMPORARY ACADEMIC POSITIONS
(Revised 04/09 09/10)

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

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

Additional documents, when applicable:

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

Approval signatures required:

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

Processing Advertisements:

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

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

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

C. Making the Academic Appointment: The department fills out the form Summary B- Recruitment Activities for Temporary Academic Titles and forwards it to the Equal Opportunity Office for approval. Once returned to the Department, the form should be submitted along with the hiring paperwork to the Dean's Office, Office of Research, or other control point as appropriate.

A. Recruiting

The recruiting department:

1. Determines the length of the recruitment period.
2. Determines the publications or recruitment sources to be used.
3. Sets a realistic deadline for receiving applications so that campus Equal Opportunity & Affirmative Action policy and procedures may be carried out without undue pressures (e.g., advertising time too short to attract a reasonable number of applicants or a diverse pool). Departments should allow from one to two months for lecturer or research positions.
4. Follows established departmental and campus procedures and review criteria for the application process..
5. Prepares the **Recruitment Packet – Part 1 – Plan for Academic Vacancies** request, including one copy of the advertisement. This packet contains all relevant information on how the position will be advertised and the efforts to be made to ensure equal employment opportunity and to reach a diverse applicant pool in which women and minorities are represented.
6. Obtains Department Chair or Director's signature.
7. Obtains Control Point's signature.
8. Submits the **Part 1 – Recruitment Plan for Academic Vacancies** request, including one copy of the advertisement to OEOSH/TC

The Office of Equal Opportunity & Sexual Harassment / Title IX Compliance:

9. Reviews the request and returns to the department:
 - the approved form with an assigned job number
 - sample applicant acknowledgment letter, including invitation to complete the **Applicant Demographic Data Survey**
10. Posts the ad on the OEOSH/TC website

The recruiting department:

11. Places any additional approved advertisements for the position. Retains all copies of advertisements as they appear in publications and online, including duration of advertisements.

B. Processing Applications and interviewing

The recruiting department:

1. Upon receipt of application, sends the applicant a letter acknowledging receipt of materials, including an invitation to complete the **Applicant Demographic Data Survey**. Please note: It is the responsibility of the department to ensure each applicant receives an invitation to complete the **Applicant Demographic Data Survey**—this is to ensure compliance with federal affirmative action reporting requirements.
2. Obtains the relevant information to complete evaluations on applicants.

3. Completes the **Applicant Evaluation Summary**.
4. When an applicant pool does not contain sufficiently qualified people to fill a vacancy, it may become necessary to extend or reopen a search. The department is responsible for repeating the requisite steps as necessary.
5. Requests **Applicant Demographic Summary Data** from the OEOSH/TC.
6. Evaluates the applicant pool against availability figures and placement goals. If the pool does not reflect the availability figures, additional recruiting efforts might need to be undertaken. The department can discuss recruitment options with the OEOSH/TC.
7. Contacts prospective candidates and invites them to campus for an interview. Additionally, ensures that the proposed interview schedule is appropriate and that it is applied uniformly to all candidates.

C. Equal Opportunity Hiring Proposal

The recruiting department:

1. Once a potential hire has been identified, fills out the **Part 3 – Equal Opportunity Hiring Proposal** form and attaches the **Applicant Evaluation Summary**.
2. Obtains the Department Chair's signature.
3. Forwards the **Part 3 – Equal Opportunity Hiring Proposal** and the **Applicant Evaluation Summary** to the OEOSH/TC for review.

The Office of Equal Opportunity & Sexual Harassment / Title IX Compliance:

4. Reviews the recommended hire against the make up of the pool, availability figures and annual placement goals.
5. Returns the approved **Part 3 – Equal Opportunity Hiring Proposal** form and the Equal Opportunity Applicant Summary to the department.

The recruiting department:

1. Includes the **Part 3-Equal Opportunity Hiring Proposal** in the appointment paperwork packet that is sent forward to the control point for approval

SUPPLEMENTAL INFORMATION ON ACADEMIC RECRUITMENT ADVERTISING

(Revised 04/09 09/10)

I. General

The Chair or Department Head is responsible for the following:

1. Determining the length of the recruitment period.
 2. Determining the publications or recruitment sources to be used. **Note:** For permanent positions the ad must appear in at least one print (non-electronic) journal to satisfy Labor Certification requirements
 3. Setting a realistic deadline for applications so that campus EO/ AA policy and procedures may be carried out without undue pressures (i.e. advertising time too short to attract a reasonable number of applicants or a diverse pool, or the need to interview candidates before the deadline to apply).
 4. Meeting with the search committee to develop appropriate procedures and review criteria for the application process, i.e. ensuring that search materials will be handled meticulously, that the required Applicant Survey Form is sent to each applicant, and that an appropriate schedule is established for the search committee to complete its review of applications and bring its recommendation to the department faculty.
- To minimize the potential for losing strong applicants, the EO/ AA review to request permission for interview should be prepared as soon as possible after the application deadline. If delays in making finalist determination are unavoidable, chairs should ensure that all applicants are informed of the time frame for the selection process as encouragement for remaining in the applicant pool.
5. When an applicant pool does not contain sufficiently qualified persons to fill a vacancy, or when candidates decline offers for interviews and/ or positions, it may become necessary to extend or reopen a search. The chair is responsible for completing a new Recruitment Plan for Academic Vacancies and submitting it through channels for approval.
 6. Chairs are responsible for contacting prospective candidates and inviting them to campus for an interview. Additionally, they are charged with ensuring that the proposed interview schedule is appropriate and that it is applied uniformly to all candidates.

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

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

II. Advertisement

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

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

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

A. Advertising Costs

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

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

B. Basic Elements of An Advertisement

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

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

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

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

7. Specify what constitutes a complete application:

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

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

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

- Position will remain open until filled.

- Apply by October 1, for primary consideration, however, position will remain open until filled.

- Screening of applicants begins on March 1, however, position will remain open until filled.

- Applications considered beginning March 1, and every two weeks thereafter.

9. Full name and address of contact person and where to send application materials.

10. The following wording should be included in each ad: "The department is especially interested in candidates who can contribute to the diversity and excellence of the academic community through research, teaching and service."

11. The advertisement should end with: "An Equal Opportunity/ Affirmative Action Employer," or "An EO/ AA Employer."

12. For ladder recruitment, departments should take into consideration the following statements by former Vice Chancellor Hammes: (from V.C. Hammes' memo of June 26, 1989, to Departmental Affirmative Action Committee Chairs)

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

- Faculty positions are defined very narrowly thereby decreasing the (applicant) pool size.

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

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

III. Applicant Survey Form

Each applicant should be instructed to complete the Applicant Survey Form which may be completed on-line at <http://survey.ucsb.edu/asf/>. Reply to this survey is voluntary on the part of the applicant. Prior to sending to the applicant, the name of the recruiting department must be filled out on the top part of the form. Be sure to inform the applicant of the position name/ number.

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

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

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

The information on this form should be reasonably detailed so as to explain the evaluation given to an applicant. In cases where the number of applicants is large (hundreds), the department may organize the applicants into general categories (e.g., do not meet position qualifications; do not fit programmatic areas; lack experience), and give similar explanations for each of these categories.

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

Once the department has made its preliminary review and narrowed candidates down to a short list, it then requests permission from the Dean to bring finalist candidates to campus for interviews. The Dean will consult the Director of Equal Opportunity prior to making final decisions. For each ladder rank FTE, the Dean's Office

will pay for interview trips for up to three finalists, if justified. Occasionally, it is necessary, (primarily for market reasons) to invite more than three candidates for campus interviews. In such cases travel is normally supported by departmental grant/ contract, or other funds (see VI below).

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

- A general description of the recruitment activities which have taken place. If there are special circumstances, e.g. search reopened, continuing search from last year, so state. Indicate when and where the position was advertised and how many applications were received. What actions were taken in meetings of search committees. State the efforts made to attract women or minority applicants. Comments/ suggestions by members of the search committee, recruitment obstacles encountered, reasons cited by candidates for withdrawal from candidacy, should be stated. The representative(s) of the departmental affirmative action committee may choose to submit a separate affirmative action recruitment report. Identify the composition of the applicant pool: number of males, females, whites, Blacks, Asians, Hispanics, American Indians (compiled from replies of Applicant Survey Forms).

- The criteria used in screening and evaluating applicants. It is particularly important to apply the evaluation criteria consistently to each applicant in the pool, including the women or minority applicants. If they were screened out of the pool, explain why.

- A brief synopsis of each finalist candidate's qualifications, experiences, and accomplishments, including comments on their potential for research and teaching.

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

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

VI. Exceptions in Recruitment Travel (ladder recruitment only)

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

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

VII. Summary Of Recruitment Activities Form

For ladder rank or other permanent academic appointments, the department fills out the Summary A form (Red Binder V-20). For temporary academic appointments, the department fills out the Summary B form (Red Binder V-23). Gender and ethnic data from the Applicant Survey Forms and the EO/ AA recruitment report may be used to complete this form. Attach a copy of the position advertisement, mailing lists used, sample letters to prospective candidates, and other relevant information to this recruitment. The Summary form is submitted to the Dean's office, Office of Research, or other appropriate control point along with the appointment case.

I. General

The OEOSH/TC, whether the advertising source is free or for a fee, must approve all academic advertisements.

Responsibility for the cost and placement of ads with vendors, distribution of advertisement flyers, etc., is the responsibility of each hiring department. Deans or control points may allocate funds to departments for the purpose of advertising. Costs beyond those allocations are the responsibility of the department.

All senate faculty advertisements are posted on the UC Santa Barbara Academic Personnel website. Non-Senate positions are posted on the UC Santa Barbara OEOSH/TC Employment Opportunities website.

II. Basic Elements of an Advertisement

1. Name of campus department and the academic program where the vacancy is located
2. Job Number–This is supplied to departments by the OEOSH/TC
3. Expected recruitment type (external or internal search)
4. Expected hire type (single, multiple, or pooled recruitment)
5. The level of the position if determined (e.g., Assistant, Associate, Open). For Senate faculty positions the level of the position listed in the ad must reflect the approved level of the provision.
6. The area of specialization/research–Preference or emphasis for a particular area of specialization can also be included. For Senate faculty positions the area must reflect the approved area of the provision.
7. The effective date of the position (e.g., effective July 1, 2001; or effective 2001–02)
8. Requirements–List any educational or other academic degree requirements if applicable. Care should be taken to clearly identify required qualifications from desired qualifications for the position.
9. Specify what constitutes a complete application. Departments may wish to request items such as the following:
 - a curriculum vita or dossier
 - statement of research interests
 - samples of published work
 - number of references required and the manner by which a letter of recommendation is obtained.
10. Specify a deadline for receiving applications. Whenever possible, Senate faculty searches should set an application deadline between November 15 and December 31. Application deadlines later than February 1 should be avoided when anticipating a July 1 start date. Departments should be mindful of the AAU recruitment deadline of April 30, and the Intercampus deadline of April 1 (APM 500-16).
11. Departmental contact and application submission mailing address or on-line process information.
12. Equal Opportunity/Affirmative Action Language–The following wording must be included in each ad: “The department is especially interested in candidates who can contribute to the diversity and excellence of the academic community through research, teaching and service.” The advertisement must end with: An Equal Opportunity/Affirmative Action Employer, or An EO/AA Employer.

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Academic Recruitment Packet

Job Number (to be assigned by the OEOSH/TC): _____

Today's Date: _____

FTE Provision Number: _____

Division: _____

Department Code: _____ Department Name: _____

Title Code: _____ Payroll Title: _____

Area of Specialization: _____

Expected Recruitment Type (circle one): External Internal

Expected Hiring Type (circle one): Single Hire Multi-Hire Pooled

Expected Appointment Begin Date: _____

Expected Appointment End Date: _____

(If the position is expected to be indefinite, indicate that here.)

Part 1 - Recruitment Plan for Academic Vacancies

1. List search committee member names, identifying the equal opportunity committee representative (if applicable):

2. List the criteria you intend to use to evaluate the applicants, including minimum qualifications for the position:

3. What are the female and minority availability figures for this position?

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Academic Recruitment Packet

4. Are there female or minority annual placement goals set for this position? If so, what are they?

5. List the publication(s) where you intend to advertise this position (if applicable) including the length of time each ad will run. Indicate which ones are intended to increase the diversity of your search. Note: The hire of a foreign national must comport with Labor Certificate procedures. For more information regarding Labor Certificate requirements, please contact the Office of International Students & Scholars.

6. List any colleges, universities or professional organizations you propose to contact (if applicable). Indicate which ones are intended to increase the diversity of your search.

7. List any people who will be personally invited to apply to this position, if applicable (attach list if necessary):

8. Describe any additional recruitment activities you intend to undertake:

9. **Attach a copy of the advertisement.** Ensure that it includes the appropriate Affirmative Action / Equal Opportunity language (for more information regarding Academic Advertisement guidelines, see **Academic Advertisement Instructions**).

Signatures:

Department Chair/Director

Control Point*

Office of Equal Opportunity & Sexual Harassment / Title IX Compliance

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Part 2 – Request to Interview (Senate Faculty & Permanent Academic Positions Only)

1. Provide detail of any changes to the proposed advertising plan (Part 1, #5, 6 and 7):

2. Does the applicant pool reflect the availability figures? If not, what additional steps will be taken to increase the diversity of the applicant pool?

3. If there were female or minority annual placement goals set for this position, what has been done to date during this recruitment to meet these goals?

4. Attach a copy of the **Applicant Evaluation Summary** which should include a list of the applicants and identify which of the following categories they fall into:
 - a. Met qualifications
 - b. Semifinalist
 - c. Finalist
 - d. Intend to interview
5. Attach a brief synopsis of each finalist candidate's qualifications, experiences, and accomplishments, including comments on their potential for research and teaching.

Signatures:

Department Chair

Office of Equal Opportunity & Sexual Harassment / Title IX Compliance

Dean

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Academic Recruitment Packet

Part 3 – Equal Opportunity Hiring Proposal

Appointment Begin Date: _____

Appointment End Date: _____

Appointment Percentage of Time: _____

Name of Finalist	Recommended for Hire?	Reason for Recommendation
	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	<input type="checkbox"/> Yes <input type="checkbox"/> No	

Attach an updated Applicant Evaluation Summary if changes to the make up of your pool have occurred.

Signatures: _____
Department Chair/Director

Office of Equal Opportunity & Sexual Harassment / Title IX Compliance

Control Point*

*Control point signatures:

Type of appointment

signature required

Ladder Faculty

College/Divisional Dean

Librarians

University Librarian

University Librarian

College level appointments

Associate Vice Chancellor, Academic Personnel

Lecturer

College/Divisional Dean

Researcher, Specialist

Project Scientist

Office of Research

Academic Coordinator

College/Divisional Dean or Academic Personnel as appropriate

**UNIVERSITY OF CALIFORNIA
NONDISCRIMINATION AND AFFIRMATIVE ACTION POLICY
REGARDING ACADEMIC AND STAFF EMPLOYMENT**

*University of California
Office of the President*

July 1, 2008

It is the policy of the University not to engage in discrimination against or harassment of any person employed or seeking employment with the University of California on the basis of race, color, national origin, religion, sex, gender identity, pregnancy,¹ physical or mental disability, medical condition (cancer-related or genetic characteristics), ancestry, marital status, age, sexual orientation, citizenship, or service in the uniformed services (as defined by the Uniformed Services Employment and Reemployment Rights Act of 1994).² This policy applies to all employment practices, including recruitment, selection, promotion, transfer, merit increase, salary, training and development, demotion, and separation. This policy is intended to be consistent with the provisions of applicable State and Federal laws and University policies.

University policy also prohibits retaliation against any employee or person seeking employment for bringing a complaint of discrimination or harassment pursuant to this policy. This policy also prohibits retaliation against a person who assists someone with a complaint of discrimination or harassment, or participates in any manner in an investigation or resolution of a complaint of discrimination or harassment. Retaliation includes threats, intimidation, reprisals, and/or adverse actions related to employment.

In addition, it is the policy of the University to undertake affirmative action, consistent with its obligations as a Federal contractor, for minorities and women, for persons with disabilities, and for covered veterans.³ The University commits itself to apply every good faith effort to achieve prompt and full utilization of minorities and women in all segments of its workforce where deficiencies exist. These efforts conform to all current legal and regulatory requirements, and are consistent with University standards of quality and excellence.

In conformance with Federal regulations, written affirmative action plans shall be prepared and maintained by each campus of the University, by the Lawrence Berkeley National Laboratory, by the Office of the President, and by the Division of Agriculture and Natural Resources. Such plans shall be reviewed and approved by the Office of the President and the Office of the General Counsel before they are officially promulgated.

This policy supersedes the University of California Nondiscrimination and Affirmative Action Policy Regarding Academic and Staff Employment, dated January 1, 2004.

¹ Pregnancy includes pregnancy, childbirth, and medical conditions related to the pregnancy or childbirth.

² Service in the uniformed services includes membership, application for membership, performance of service, application for service, or obligation for service in the uniformed services.

³ Covered veterans includes veterans with disabilities, recently separated veterans, Vietnam era veterans, veterans who served on active duty in the U.S. Military, Ground, Naval or Air Service during a war or in a campaign or expedition for which a campaign badge has been authorized, or Armed Forces service medal veterans.

GUIDELINES FOR ACCESS TO UNIVERSITY PERSONNEL RECORDS BY GOVERNMENTAL AGENCIES

(Revised October, 1995)

(administrative updates as of 01/ 08)

The following University of California guidelines and procedures for Access to University Personnel Records by Governmental Agencies were issued in 1987 by then Acting Vice Chancellor, Robert S. Michaelsen.

All governmental agency requests regarding access to academic and staff personnel records about a university employee classified as (1) "confidential academic review records" (peer review records), (2) "confidential records", (3) "personal records", or (4) "non-personal records" are to be directed to the Office of The Executive Vice Chancellor. The policy covers:

1. Academic Records

Campus responses to governmental agency requests to access to academic personnel records subject to Academic Personnel Policy section 160, for any purpose will be coordinated by the offices of the Associate Vice Chancellor, Academic Personnel, the Director, Equal Opportunity, and Business Services.

2 Staff Records

Campus responses to governmental agency requests to access staff records are subject to Staff Personnel Policy 605. Responses will be coordinated by the Director of Human Resources, Director, Equal Opportunity, and Business Services.

As appropriate, the offices of General Counsel will be consulted regarding questions of a governmental agency's statutory right of review, of relevancy, and for interpretation of the attached guidelines.

Reviews

Once the campus has determined that under University guidelines the particular governmental agency is entitled to review academic and staff personnel records subject to our academic and staff personnel policies, the campus will provide a central location for review of these files. Throughout the review, a campus official will be present to insure the appropriate accounting of records under review.

In regard to files that may be copied by a governmental agency representative subject to these guidelines, the Executive Vice Chancellor's office will number each file and record the number of pages. The governmental agency representative will sign a form indicating the pages they wish to copy. Each page copied will be stamped noting that it is subject to the specific agreement between the University of California and the governmental agency.

GUIDELINES FOR ACCESS TO UNIVERSITY PERSONNEL RECORDS
BY GOVERNMENTAL AGENCIES

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Appendix A Academic Personnel Manual Section 160-20-b(1)

Appendix B Disclosure Agreement with the California Department of Fair Employment and
Housing

Appendix C Business and Finance Bulletin RMP-8, "Legal Requirements on Privacy of and Access
to Information," Section VII.B.1, Definition of Confidential Information.

GUIDELINES FOR ACCESS TO UNIVERSITY PERSONNEL RECORDS BY GOVERNMENTAL AGENCIES

I. Introduction.

All University records about individuals are classified as (1) "confidential academic review records" (peer review records), (2) "confidential records," (3) "personal records," or (4) "non-personal records." Access rights by individuals and entities vary according to the type of record. Comprehensive requirements for access to all types of University records are contained in Business and Finance Bulletin RMP-8, "Legal Requirements on Privacy of, and Access to Information." The purpose of these guidelines is to supplement that document by specifying the rights of Federal, state, and local government officials to access the four categories of University personnel records. Included in these guidelines are the provisions of the two legal agreements between the University and the U.S. Department of Labor (DOL), and the State of California Department of Fair Employment and Housing (DFEH) pertaining to access to confidential academic review (peer review records) during investigations of discrimination complaints or compliance reviews.

For additional information on access to, and the privacy of personnel information refer to:

Business and Finance Bulletin RMP-8, "Legal Requirements on Privacy of and Access to Information," dated December 10, 1985;

Academic Personnel Manual Section 160, "Maintenance of, Access to, and Opportunity to Request Amendment of Academic Personnel Records," revised August 1, 1992;¹ and

Staff Personnel Policy 605, "Staff Personnel Records," dated December 1, 1990.²

II. Access by Governmental Agencies to Confidential Academic Review (Peer Review) Records.

This section does not apply to access to peer review records by the U.S. Department of Labor (DOL) or the State of California Department of Fair Employment and Housing (DFEH) relating to complaints of discrimination or compliance reviews. See Sections III and IV.

If a representative of a governmental agency other than DOL or DFEH requests access to material in University personnel records which includes items that are "confidential academic review records" (peer review records) pursuant to Academic Personnel Manual Section 160-20-b(1) (Appendix A), such request must be in writing. In response to the written request, the requester should be informed that:

¹ All references to this policy apply to academic personnel except as otherwise provided by a Memorandum of Understanding.

² Staff Personnel Policy 605 does not apply to staff employees covered by a Memorandum of Understanding.

The University of California is in full support of (name of agency)'s need and duty to acquire information pertinent to carrying out its functions. University policies concerning confidential academic peer review records, however, specify that such records are confidential documents. This designation of confidentiality is essential to the University's academic personnel process to secure candid evaluations of individuals under review. The University provides safeguards in the review process to assure that the confidentiality does not cloak unfairness to individuals or result in abuse.

With respect to academic peer review personnel records, our policies take into account the need to protect individual rights of privacy. Furthermore, our academic personnel policies provide that subject individuals may receive, on request, a redacted copy of the substance of the confidential documents in their files, edited to withhold disclosure of the identity of persons who have supplied evaluations of the subject individuals with the understanding that the identity of the evaluator will be held in confidence.

In light of the above policies, and provided that your agency has a statutory right to review these records and shall maintain their confidentiality, the University is prepared to make available for your authorized representative on-site review of academic personnel files relevant to your review.

In applying the general policies regarding use of confidential academic documents in the personnel process, and in order to balance the need to protect the confidentiality of certain records against the legitimate needs of access by governmental agencies, you should abide by the following guidelines dealing with representatives of government agencies who have requested material from peer review records:

1. You should allow the governmental agent to view on-site the complete files which are relevant to the governmental review, but only after the names of evaluators and any identifying particulars have been removed.
2. If the governmental agent asks to remove copies of, or make and remove notes about peer review documents from the physical custody of your campus or Laboratory, the following officers should be consulted prior to response:
 - a. the Senior Vice President--Academic Affairs, and
 - b. General Counsel.

III. Access by the U.S. Department of Labor to Confidential Academic Review (Peer Review) Records Relating to Complaints of Discrimination or to Compliance Reviews as Required by Consent Decree.³

If a representative of the Department of Labor, Office of Federal Contract Compliance Programs (OFCCP), requests access to material in University records which includes items the University characterizes as confidential pursuant to Academic Personnel Manual Section 160-20-b(1) (academic peer review records), the following procedures, as set forth in the Consent Decree, should be followed:

³ An agreement between the University of California and the U.S. Department of Labor dated October 3, 1980 pertaining to the latter's access to University academic peer review records. The full text of the Consent Decree is available from the Office of the General Counsel

1. The University shall provide OFCCP access for inspection and copying of such books, records, accounts, and other materials which OFCCP determines to be relevant and necessary whenever it is reviewing the University's compliance with Executive Order 11246, as amended, and the rules, regulations, and orders issued pursuant thereto (hereinafter Executive Order 11246 or the Executive Order). The University shall allow OFCCP to remove copies of said books, records, accounts, other materials, and notes from off campus or from any other place at which they are maintained.⁴
2. OFCCP will remove copies of books, records, accounts, and other University materials off campus where it concludes that said materials are necessary to its Executive Order review. However, where such books, records, accounts, or other materials concern the following, and are and have been maintained in confidence by the University, prior to making copies, the OFCCP investigator (EOS) will justify his/ her decision to the appropriate OFCCP Area Office Director:
 - a. Letters of evaluation or other statements pertaining to any individual received by the University in the academic peer review process with the understanding that the letter or statement will be held in confidence;
 - b. Letters from the chairperson (or equivalent officer) in the academic peer review process setting forth a departmental recommendation; and,
 - c. Reports, recommendations, and other related documents from administrative officers and campus ad hoc and standing committee in the academic peer review process concerning evaluations of individuals.

Only if the Area Office Director concurs, will copies of any of the above-listed documents be taken off campus or removed from any other place where they are retained by the University. If the Area Office Director concurs, the University shall be notified by the Area Office Director of the documents to be copied and removed. Copies will then be taken off campus, or from other locations where they are maintained by the University, in accordance with OFCCP's Executive Order compliance assessment needs.

4. Where OFCCP takes copies of any of the documents listed in paragraph 2, a-c, above, off campus or from other locations where they are maintained by the University, all copies of such documents (which have not been entered as hearing or trial exhibits) shall be returned to the University within a reasonable period of time after completion, as determined by the Department of Labor, of a compliance review, complaint investigation, other investigation, or administrative or judicial enforcement proceedings.⁵ The University will then maintain said copies for at least ten (10) years unless the parties mutually agree on a shorter period of retention, and will provide them to OFCCP whenever it requests them. When such documents are provided, OFCCP shall maintain and return them in accordance with this Consent Decree."

⁴ However, nothing in this Consent Decree shall be deemed to in any way limit the University's right under 41 CFR 60-60.4(c) (or its successor) to question the relevancy of documents removed off campus or from any other place in which they are maintained, and to seek their return, thereunder.

⁵ The term "completion" includes, but is not limited to, Departmental reviews of such reviews, investigations, or proceedings.

IV. Access by the State of California Department of Fair Employment and Housing to Confidential Academic Review (Peer Review) Records Relating to Complaints of Discrimination as Required by Disclosure Agreement.

If a representative of DFEH requests access to material in University academic peer review personnel records which includes items the University characterizes as confidential pursuant to Academic Personnel Manual Section 160-20-b(1), the procedures set forth in the Disclosure Agreement (Appendix B) should be followed. This agreement concerns disclosure of University records when DFEH is investigating charges of employment discrimination, and details the specific steps to be followed when releasing all types of academic personnel records, including comprehensive summaries of confidential academic review records and actual review records.

V. Access by Governmental Agencies to Academic, Staff, and Other Employee Personnel Records Designated as Confidential (other than Confidential Academic or Peer Review Records).

Business and Finance Bulletin RMP-8, "Legal Requirements on Privacy of and Access to Information," Section VII.B.1. provides a complete definition of confidential information which includes, but is not limited by law to, medical, psychological, and investigative information about an individual. See Appendix C. Academic Personnel Manual Section 160-20-b(2) similarly defines confidential information and clarifies that such academic personnel information is generally not part of the peer review file, but is occasionally maintained by the University. Business and Finance Bulletin RMP-8 provides the definition of confidential information for all staff employees.

If a representative of a governmental agency requests access to confidential academic, staff, or other employee personnel information, such request must be in written form and the information should be made available only if the governmental agency has a legal right to such access. Because of the sensitivity of confidential information and the University's policy of protecting individual rights of privacy, the requester should be informed that:

The University of California is in full support of (name of agency)'s need and duty to acquire information pertinent to carrying out its functions. Our personnel policies specify, however, that certain materials in personnel records are confidential documents, and take into account the rights of access of third parties, as well as the need to protect individual rights of privacy.

In light of these policies and in conformance with the law, the University is prepared to make available for your authorized representative on-site review of confidential personnel files relevant to your review, provided that your agency has a statutory right to review these records and shall maintain their confidentiality.

VI. Access by Governmental Agencies to Academic, Staff, and Other Employee Personnel Records Designated as Non-personal or Personal.

The preceding guidelines have dealt with access to confidential academic review (peer review) records, and the separately defined confidential information about academic, staff, and other employees. Following are guidelines for governmental access to that personnel information which the University considers non-personal or personal in nature.

Business and Finance Bulletin RMP-8, Section VII.B.3, Academic Personnel Manual Section 160-20-b(4) and Staff Personnel Policy 605.18 specify those types of personnel information which the University considers to be non-personal, such as the individual's name, the date of hire, the current position title, the current rate of pay, the organizational unit assignment (including office address and telephone number), and the current job description. These types of records are public records and are available to governmental agencies upon request.

Personal information is defined in Business and Finance Bulletin RMP-8, Section VII.B.4, Academic Personnel Manual Section 160-20-b(5), and Staff Personnel Policy 605.19, as that information which is not confidential (Section V above and Appendix C) or non-personal, and the disclosure of which would constitute an unwarranted invasion of personal privacy of the individual. Examples of the most common types of personal information are included in the referenced section of Business and Finance Bulletin RMP-8. If a representative of a governmental agency requests access to personal information about any employee, it will be made available only if the governmental agency has a statutory right to such access, or if the individual to whom the information pertains has authorized release (Business and Finance Bulletin RMP-8, Section VII.G.3., Academic Personnel Manual Section 160-20-d(4), Staff Personnel Policy 605.22). The governmental agency should agree to not release personal information obtained from the University except to the subject of the information or to authorized individuals.

APPENDIX A

GENERAL UNIVERSITY POLICY APM - 160
 REGARDING ACADEMIC APPOINTEES
 Academic Personnel Records/ Maintenance of, Access
 to, and Opportunity to Request Amendment of

The Faculty Code of Conduct (Part II.D.3.) as approved by the Assembly of the Academic Senate and incorporated into the official document, "University Policy on Faculty Conduct and the Administration of Discipline," initially adopted by The Regents in June 1974, and subsequently amended, specifies that among types of unacceptable faculty conduct is "breach of established rules governing confidentiality in personnel procedures." This part of the Faculty Code recognizes the importance of the right to privacy of an individual undergoing a personnel review and of the right to privacy of persons who furnish, in confidence, evaluations of individuals under review.

b. Definition of Types of Records and Information Maintained by the University about Academic Employees

(1) "Confidential academic review records" are:

(a) A letter of evaluation or other statement pertaining to an individual received by the University with the understanding that the identity of the author of the letter or statement will be held in confidence to the extent permissible by law.

(b) A letter from the chairperson (or equivalent officer) setting forth a personal recommendation in connection with an academic personnel action concerning the individual, such as appointment, promotion, merit increase, appraisal, reappointment, non-reappointment, or terminal appointment.

(c) Reports, recommendations, and other related documents from campus and departmental *ad hoc* committees concerning evaluations of the individual under applicable University criteria in connection with an academic personnel action, such as appointment, promotion, merit increase, appraisal, reappointment, non-reappointment, or terminal appointment.

(d) Information placed in the review file by a department chair that provides reference to the scholarly credentials of individuals who have submitted letters of evaluation or their relationship to the candidate.

August 20, 1984

DISCLOSURE AGREEMENT

- A. The California Department of Fair Employment and Housing (hereinafter "DFEH") is responsible for investigating charges of employment discrimination filed with the Department. In the course of investigating such charges, DFEH often asks to inspect or obtain copies of certain information pertaining to the complainant in the custody of an affected employer in order to determine if there is merit to the charge. When investigating a charge brought against the University of California (hereinafter "University"), DFEH at times desires to inspect and copy personnel records which include academic review records for University academic employees or candidates. These academic review records are deemed confidential by the University. These academic review records are those listed in Academic Personnel Manual section 160-20(b)-1 (Rev. 8/ 1/ 92). (Appendix A of this Agreement.) Both parties recognize that in conducting its investigation DFEH has the legal right of access to University records, subject to certain legal limitations and restrictions. This Agreement sets forth the parties' understanding regarding DFEH's access to such records.

The University recognizes that DFEH has a statutory obligation to complete its investigation within one year of the date the complaint is filed. DFEH recognizes that the University needs sufficient advance notice in order to prepare certain documents for discovery pursuant to the terms of this Agreement. Therefore, the parties to this Agreement agree to the timetables specified as a general guide. These timetables shall not preclude earlier compliance or different timetables agreed upon between the parties in any individual case.

B. Access to Records.

- B-1. Whenever DFEH investigates a charge of discrimination brought by an academic employee or candidate about whom the University maintains academic personnel records which are confidential pursuant to University policy, DFEH may review all relevant existing University personnel records of the charging party which are not confidential academic review records. If a redacted copy of confidential academic review records exists, the redacted copies shall be included in the records reviewed. DFEH may also request copies of the records pursuant to Section D-1 of this Agreement without prior on-site review.
- B-2. If DFEH then determines that access to relevant existing University personnel records of non-charging parties which are not confidential academic review records is necessary for the conduct of the investigation for purposes of comparison, DFEH shall explain in writing the basis for its request to the Academic Vice Chancellor of the affected campus. The University will afford DFEH the opportunity to inspect those records on-site within twenty (20) days of receipt of the written request of DFEH. If redacted copies of

confidential academic review records exist, the redacted copies shall be included in the records reviewed.

- B-3. If after review of records under B-1 or D-1 of this Agreement DFEH determines that access to the academic review records of the charging party which are deemed confidential by the University is necessary for the conduct of the investigation, DFEH shall explain in writing the basis for its request to the Academic Vice Chancellor of the affected campus. In response to such a request, if the University has previously provided DFEH with the comprehensive summary of the charging party under D-1, the University shall allow DFEH to review the originals confidential academic review records, or copies thereof, with the names and identifying particulars of reviewers deleted, on site in order to authenticate the accuracy of the summaries within twenty (20) days of DFEH's request.

If a redacted copy of confidential academic review records for the charging party does not exist or does not cover confidential academic review records applicable to the period of the complaint, the University shall first prepare and provide DFEH with redacted copies of the requested records, setting forth the substance of those records, except for information which would reveal the sources of the records and as specified in Academic Personnel Manual section 160-20-b(1) (Rev. 8/ 1/ 92). (Appendix A of this Agreement.) The University shall not consider such redacted copy confidential. DFEH agrees to allow the University up to four (4) weeks from the written request to prepare the redacted copies of the requested records of the charging party.

If DFEH then requests, the University shall allow DFEH an opportunity to review the original confidential academic review records, or copies thereof, with names and identifying particulars of reviewers deleted, on site in order to authenticate the accuracy of the redacted copies upon twenty (20) days notice by DFEH of its request for said review.

- B-4. If after review of records under B-2 or D-2 of this Agreement DFEH determines that access to the academic review records on non-charging parties which are deemed confidential by the University is necessary for the conduct of DFEH's investigation for purposes of comparison, the DFEH consultant shall notify his/ her District or Regional Administrator and the Academic Vice Chancellor of the affected campus. The District or Regional Administrator of the DFEH office involved shall explain in writing, to the Academic Vice Chancellor the basis for the request and that access is in conformity with DFEH criteria used by consultants in such investigations.

In response to such a request, the University, if redacted copies of confidential academic review records for comparable non-charging parties do not exist or do not cover confidential review records applicable to the period of the complaint, shall first prepare and provide DFEH with redacted copies of the requested records, setting forth the substance of those records, except for information which would reveal the sources of the records and as specified in Academic Personnel Manual section 160-20-b-2 (Rev. 8/ 1/ 92). (Appendix A of this Agreement.) The University shall not consider such summaries confidential as to the party to whom the summary pertains. DFEH agrees to allow the University up to eight (8) weeks from the written explanation by the District or Regional Administrator of the DFEH office involved to prepare the comprehensive summaries of the requested records of the comparable non-charging parties.

If DFEH then requests, the University shall provide DFEH with an opportunity to review the original confidential academic review records, or copies thereof, with names and identifying particulars of reviewers deleted, on site in order to authenticate the accuracy of the summaries upon twenty (20) days notice by DFEH of its request for said review.

- B-5. If after review of records under B-3 or B-4 of this Agreement DFEH then determines that information about reviewers is necessary for the conduct of its investigation, the District or Regional Administrator shall state in writing its need for the information. Within ten (10) days of receipt of DFEH's statement of need the Academic Vice Chancellor or designee shall consult with DFEH. Within five (5) working days of the consultation, the University will provide the information requested about, but not the names of, reviewers (e.g., gender, ethnicity, discipline). Nothing in this paragraph shall be interpreted to prevent DFEH and University from modifying the scope of the original request by agreement during the required consultation.
- B-6. Finally, if the District or Regional Administrator of the DFEH office involved provides a written statement why access to the academic review records in unredacted form is necessary to the investigation and, that the result is in conformity with DFEH criteria used by consultants in such investigations, the Academic Vice Chancellor or designee shall consult with the District or Regional Administrator within ten (10) days of receipt of DFEH's statement. Within five (5) working days of the consultation, the University will afford DFEH the opportunity to review the original confidential academic review records in unredacted form on site. Nothing in this paragraph shall be interpreted to prevent DFEH and University from modifying the scope of the original request by agreement during the consultation.

The University reserves the right to raise legal objections to DFEH's request to review the documents specified in paragraph B-6 on the grounds that the information requested is not reasonably relevant to the matter under investigation or on such other bases as might be available under applicable law. Written notice of refusal to provide access to any part of the documents specified in B-6 shall be provided by the University to DFEH within five (5) working days of the consultation specified above, setting forth the reasons for such refusal.

- C. Notes. The DFEH consultant shall be permitted to take notes of conversations as well as documents reviewed at the on-site review. In the event that the consultant takes notes, such notes will be regarded as information obtained under a promise of confidentiality, pursuant to the provisions of paragraph B-1 of this Agreement.

D. Removal of Copies of Records.

- D-1. The University shall provide copies of all relevant existing University personnel records of the charging party which are not confidential academic review records within ten (10) days of DFEH's request. If a redacted copy of confidential academic review records exists at the time of DFEH's request, it shall be included in the copies of records provided to DFEH. If a redacted copy is prepared by the University pursuant to paragraph B-3 of this Agreement, the University shall provide the redacted copy immediately upon completion of the redaction.

D-2. If DFEH determines that copies of existing University personnel records of non-charging parties which are not confidential academic review records are necessary for the conduct of

the investigation for purposes of comparison subsequent to DFEH's review of those records on site pursuant to paragraph B-2 of this Agreement, DFEH shall explain in writing the basis for its request to the Academic Vice Chancellor of the affected campus. The University will provide the requested records within ten (10) days of DFEH's request. If redacted copies of confidential academic review records exist at the time of DFEH's request, they shall be included in the copies of records provided to DFEH. If redacted copies are prepared by the University pursuant to paragraph B-4 of the Agreement, the University shall provide the redacted copies immediately upon completion of the redaction.

- D-3. If DFEH determines that removal of copies of confidential academic review records relating to the charging party or to non-charging parties which have been reviewed pursuant to paragraphs B-3 and B-4 of this Agreement is necessary to the conduct of its investigation, the District or Regional Administrator shall provide a written statement to the University why removal of copies is necessary to the conduct of the investigation. Within ten (10) days of receipt of DFEH's statement, the Vice Chancellor or his designee shall consult with the District or Regional Administrator. Nothing in this paragraph shall be interpreted to prevent DFEH and University from modifying the scope of the original request by agreement during the required consultation.

If the District or Regional Administrator so consults and affirms the need, the University agrees to provide copies of the requested records of the charging party and comparable non-charging parties as redacted pursuant to paragraphs B-3 and B-4 of this Agreement within five (5) working days.

If the case is forwarded to the DFEH Legal Unit for review for accusation, the University agrees to provide copies of the unredacted records requested within five (5) working days.

- D-4. DFEH agrees to the following security measures for copies of records provided pursuant to section D-3:

- a. Copies provided by the University will not be duplicated in any form. DFEH will maintain only the copy provided by the University.
- b. All copies provided by the University will be maintained in a segregated, locked file.
- c. Only consultants, attorneys, and DFEH employees or agents with a specific need to know shall have access to the copies of records provided pursuant to this section.

- E. The sequence of access to inspection and/ or removal of the academic review records, as described above in sections B, C and D, may be modified in any individual case upon agreement of both parties to this Agreement.

- F. Pursuant to this Agreement, the parties hereto shall abide by the following conditions:

- F-I. DFEH shall regard the notes taken by any DFEH consultant during the course of a review concerning academic review records and information deemed confidential by the University as well as any conversations concerning those records and information and/ or any notes

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taken about academic review records and information deemed confidential by the University and provided to DFEH to be provided under a promise of confidentiality, and such records, information and notes shall be deemed to be received by DFEH as confidential pursuant to,

but not limited to, Government Code section 12932, subdivision. (b) and DFEH Field Operations Directive No. 38 (6/ 16/ 83).

- F-2. DFEH shall not release or otherwise disclose records and information provided under a promise of confidentiality or any notes or records relating to such records and information or to conversations concerning such records and information to any person or party requesting to inspect or copy such, except as follows. DFEH agrees that all records, information, and notes or copies thereof obtained pursuant to this Agreement with a promise of confidentiality and/ or deemed confidential by the University and provided to DFEH and which are maintained by DFEH during an investigation are "confidential" as defined by Civil Code section 1798.3, subdivision (a)(4) and are therefore not disclosable to the complainant or third parties during a pending investigation, unless DFEH is ordered to do so by a court of competent jurisdiction. DFEH agrees not to disclose any University academic review information received by DFEH and provided under a promise of confidentiality or notes about such information or notes about conversations concerning such information that remain in DFEH's possession except under the terms of Civil Code section 1798.38. In response to a request for confidential academic review information by the subject of that information, DFEH will provide only the redacted copies concerning the subject provided to DFEH pursuant to the terms of this Agreement, unless DFEH is ordered to do so by a court of competent jurisdiction.
- F-3. If DFEH officially ends the investigation of any complaint filed against the University without issuing an accusation, DFEH shall forthwith return to the University all records containing personal and confidential information about all parties including notes relating to said records and information received by DFEH for purposes of its investigation of said complaint pursuant to the terms of this Agreement as well as any copies thereof. The University agrees to retain such records and notes for a period of seven (7) years after return.
- F-4. If DFEH determines that an accusation is warranted, DFEH may, notwithstanding the foregoing provisions, use records designated here under as confidential, as well as the matter contained therein, in the accusation and subsequent prosecution of the case. Prior to introducing any of such records into evidence before the Fair Employment and Housing Commission, DFEH shall provide the University with the opportunity to seek a protective order from the Commission. If the Commission denies the protective order, the University shall retain its right to seek a protective order from the appropriate court of law.
- F-5. DFEH agrees to give the University adequate notice of any subpoena or deposition of a confidential reviewer whose name was revealed pursuant to section B-6 of this Agreement to enable the University to seek a protective order.
- G. Any discovery issues not specifically covered by the terms of this Agreement are outside the purview of this Agreement.
- H. This Agreement is binding on the whole University system and all employees and agents of DFEH.

Original document signed by Mark Guerra, Director, DFEH and James S. Albertson, Associate Vice President Academic Affairs.

RMP-8
Dec. 10, 1985

Section VII.B. (cont)

1. Confidential Information

Recent amendments to the Information Practices Act delete the term confidential information from Section 1798.3 but retain the limited access rights provided to information previously so defined by addition of a new Section 1798.40. Section 1798.40 provides that an agency is not required to disclose information to the individual to whom the information pertains if certain criteria are satisfied. The criteria listed correspond to those previously used to define the term confidential information. Thus, although the term has been eliminated from the Act, no substantive change has been effected regarding disclosure or access rights. The University will continue to use the term confidential information to mean any information which meets any of the following criteria:

- 1798.40 (a - c) a. Is compiled for the purpose of investigation of suspected criminal activities or identification of individual criminal offenders or alleged offenders.
- 1798.40 (d) b. Is maintained for the purpose of an investigation of an individual's fitness for University employment, or of a grievance or complaint, or a suspected civil offense, so long as the information is withheld only so as not to compromise the investigation or a related investigation. The identities of individuals who provided information for the investigation may be withheld pursuant to Section 1798.38. (See Section VII.H.1.)
- 1798.40 (e) c. Would compromise the objectivity or fairness of competitive examination for appointment or promotion in University service, or is used to determine scholastic aptitude.
- 1798.40 (f) d. Pertains to the physical or psychological condition of the individual, if the University determines that disclosure would be detrimental to the individual. The information shall be disclosed upon the individual's written authorization to a licensed medical practitioner or psychologist designated by the individual.

Section ~~IX VII-3~~ through ~~IX VII-9~~
(Revised 07/05)

~~IX VII-3~~ Sexual Harassment

UC policy: <http://www.shot9.ucsb.edu>

UCSB policy: under development

~~IX VII-5~~ UC Integrity in Research

<http://www.ucop.edu/ucophome/coordrev/policy/6-19-90.html>

~~IX VII-7~~ Campus Integrity in Research

http://omni.ucsb.edu/policy/documents/research_misconduct.pdf

~~IX VII-9~~ Enforcement of Faculty Code of Conduct

<http://senate.ucsb.edu/bylaws.and.regulations/faculty.code.of.conduct/>

IX VII-11**EMPLOYMENT OF NEAR RELATIVES**

(Revised 02/ 10)

APM 520 contains the University policy regarding employment of near relatives. Approval of employment of near relatives 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.

POLICY ON CONFLICT OF INTEREST AND GRADUATE EDUCATION

(04/08)

I. References

- A. Conflict of Commitment and Outside Professional Activities of Faculty Members APM-025 (7/01)
<http://www.ucop.edu/acadadv/acadpers/apm/apm-025-07-01.pdf>
- B. University Policy on Disclosure of Financial Interest in Private Sponsors of Research APM-028 (4/84)
<http://www.ucop.edu/acadadv/acadpers/apm/apm-028.pdf>
- C. Office of Technology Transfer Guidelines on University-Industry Relations (5/89)
<http://www.ucop.edu/ott/genresources/unindrel.html>
- D. Principles Regarding Rights to Future Research Results In University Agreements With External Parties (8/99) <http://www.ucop.edu/ott/genresources/principles.html>
- E. Report of Advisory Group #2: UC/Industry Relationships and Education of Students, President's Retreat on Working with Industry (1/97)
<http://www.ucop.edu/ott/retreat/tabofcon.html>

II. Purpose, Background, and Guiding Principles

This policy affirms joint student and faculty responsibilities, as members of the University of California, in relationship to potential conflicts of interest and provides mechanisms to ensure that outside activities are consistent with University policy. Specifically, this policy seeks to identify cases where a faculty member's financial interest may have negative effects on a student's academic interests.

Opportunities for graduate students to work in the private sector as part of their education are rapidly increasing. The experience and feedback these experiences provide complement their academic curricula and enhance its relevance. Opportunities and benefits of such collaborations may include a sense of the private sector's needs and future directions; exposure to the most recent specialized research within a particular field; opportunities to apply theory to "real-world" problems; access to cutting-edge equipment and lab resources; opportunities to enhance work skills, such as critical thinking, communication, business acumen, and team participation; increased understanding of career possibilities and potential career directions.¹

Guiding Principles

When considering the appropriateness of graduate student participation in particular research projects with the private sector the following principles apply:

¹ From the Report of Advisory Group #2: UC/Industry Relationships and Education of Students, President's Retreat on Working with Industry (1/97).

A. Open Academic Environment

Student involvement with the private sector should enhance their educational experience and not unduly influence or restrict their academic choices. Specifically, a student must retain the ability to move freely from advisor to advisor and to change topic areas or research direction free from influence or pressures outside the realm of scientific appropriateness and personal choice. A student's field of research should not be significantly narrowed or limited as a result of involvement with the private sector, nor should such involvement result in significant limitation of post-graduate employment. All University research, including research sponsored by industry, is governed by the tradition of the free exchange of ideas and timely dissemination of research results. The University is committed to an open teaching and research environment in which ideas can be exchanged freely among faculty and students in the classroom, laboratory, informal meetings, and elsewhere.

B. Freedom to Publish

Freedom to publish and disseminate results are major criteria for assessing the appropriateness of any research project, particularly those involving graduate students. Consistent with the mission of the University, the integrity of a student's academic experience shall be preserved, including the ability to complete and publish a thesis or dissertation and to freely publish, present, or otherwise disclose the results of research both within the academic community and to the public at large. The University precludes assigning to extramural sources the right to keep or make final decisions about what may or may not be published with respect to a research project². Within this general understanding, the University also realizes that circumstances may arise where certain restrictions or limitations may be appropriate. Short, reasonable delays may be appropriate, for example, to allow the research sponsor to review publications for inadvertent disclosures of proprietary data or potentially patentable inventions. In all cases, however, these limitations or restrictions may not be more restrictive than those borne by faculty conducting similar research under University auspices.

C. Right to Conduct Future Research

A graduate student's ability to use research results in future research and educational activities shall not be impaired.

D. Outside Professional Activities

Faculty are encouraged to engage in appropriate outside professional activities (as defined in APM-025). Graduate students also can benefit from participating in such activities with faculty members. Faculty members should be careful to ensure that the student's thesis or dissertation work is not unreasonably compromised as a result of such involvement.³

² From the OTT Guidelines on University-Industry Relations and UC Systemwide Policy as outlined in the UC Contract and Grant Manual.

³ From the OTT Guidelines on University-Industry Relations and UCOP Principles Regarding Rights to Future University Agreements With External Parties.

E. Responsibility to Students

University regulations guide the academic rights and responsibilities of students, and responsibility for adherence to these principles rests with the faculty. The University is committed to protecting the educational interests of students and maintaining an open environment free from undue influence of private outside interests. The advice and guidance given to students by faculty or staff members (including the nature and direction of research or other studies as well as employment opportunities outside the university) should always be governed by what is in the best academic interests of the student.

III. Definitions

"Private entity" means any non-governmental entity, except those entities exempted from the University's non-governmental financial disclosure requirements. The list of exempt entities can be found at <http://www.ucop.edu/research/exempt.html>.

"Financial interest" means:

- (a) An investment in a private entity, by the faculty member or a member of the faculty member's immediate family (spouse/registered domestic partner or dependent children), worth more than \$10,000, including stock options and profit sharing; or
- (b) A position in a private entity as an employee, director, officer, partner, consultant, trustee, or any management position; or
- (c) Income from a private entity, including consulting income, totaling \$10,000 or more in value within a 12-month period.

"Academic interest" means:

Academic interest refers to the integrity of a student's academic experience. A student's academic interests include: the ability to move freely from advisor to advisor and to change topic areas or research direction free from influence or pressures outside the realm of scientific appropriateness and personal choice; the ability to complete and publish a thesis or dissertation and to freely publish, present, or otherwise disclose the results of research both within the academic community and to the public at large; and the ability to use research results in future research and educational activities.

IV. Disclosures

In order to protect a student's academic interests, faculty members and students need to disclose certain agreements or arrangements where conflicts with these interests may arise. Such disclosure should take place at any time the agreements or arrangements set forth below arise.

When these agreements or arrangements are disclosed, procedures will be initiated to determine whether the agreements or arrangements are consistent with the student's academic interests. If not, consideration will be given to methods of resolution of these conflicts.

The following agreements or arrangements should be disclosed to the Dean of the Graduate Division as soon as the student becomes aware of the facts giving rise to the disclosure obligation:

i) Agreements or arrangements between a student and a private entity involving research activities by the student, where the University or a mentor/research/thesis/dissertation advisor is a party to the agreement or arrangement, and the student's mentor/research/thesis/dissertation advisor has a financial interest in the private entity.

And one or more of the following is true:

- a) The research activities are related to the student's thesis/dissertation, or
- b) There are restrictions on the student's ability to publish, present, or otherwise disclose the findings from their research activities.

When students enter into any private arrangements, they should take into account obligations they may have to the University (such as employment) and ensure that conflicts do not arise which could violate those University obligations.

V. Responsibilities

A. Graduate Division

This policy and ancillary information is in the Graduate Handbook www.graddiv.ucsb.edu/academic/handbook, published by the Graduate Division. The Graduate Division shall:

- i. Annually send graduate students an electronic communication that provides the URL to the Policy on Conflict of Interest and Graduate Education.
- ii. Work with students and departments in the event that formal procedures detailed herein are initiated.

B. Academic Unit

The academic unit shall:

- i. Communicate at least once per year, in a format of the unit's choosing, about the University's Policy on Conflict of Interest and Graduate Education as well as the procedures designed to protect the academic interests of the student.
- ii. Notify graduate students of the identity of a designated resource person (typically the Graduate Advisor) who is available to advise students in circumstances in which there is a perceived or potential conflict of interest. Have the designated resource person in the academic unit serve as the departmental representative in all matters related to the conflict of interest issue as it pertains to graduate students.
- iii. Include this policy in the departmental student handbook.

The department chair of the academic unit is responsible for ensuring that faculty members and students are familiar with the ways in which the policy might impact a mentor/research/thesis/dissertation advisor's relationship with a graduate student. The department chair shall:

- iv. Ensure that faculty members have submitted the required disclosures (see Red Binder <http://ap.ucsb.edu/policies.and.procedures/red.binder/red.binder.pdf>) and obtained approvals required pursuant to APM-025 for involvement of graduate students in outside compensated activities.

C. Mentor/Research/Thesis/Dissertation Advisor

Each faculty member serving as a mentor/research/thesis/dissertation advisor to a graduate student shall:

- i. Disclose any conflict of interest that might in any way be pertinent to the research conducted by the student (using criteria as outlined in this policy and APM-028, regardless of whether the private entity is sponsoring research at the University.)
- ii. Notify the student and the designated resource person in the department of his or her conflict of interest in a timely manner ("Timely manner" means that the faculty member should notify the departmental representative and the student at the time that the student is being employed as a research or teaching assistant, forming a graduate committee, considering a thesis or dissertation topic, whichever comes first.)

VI. Procedures

Disclosure Process

A. The Graduate Student Conflict of Interest procedure will be communicated from the Graduate Dean to graduate students each academic year. A conflict of interest may be reported through two basic avenues:

- i. All graduate students completing a thesis or dissertation must submit Graduate Division's Master's Form I and Doctoral Form I. [downloadable at <http://www.graddiv.ucsb.edu/pubs/>] The Graduate Student Conflict of Interest (COI) Form for disclosure is embedded in the Graduate Division's Master's Form I and Doctoral Form I.
- ii. In addition, at any time, through a formal or informal process at the level of the academic unit, a stand-alone COI Form [downloadable at <http://www.graddiv.ucsb.edu/pubs/>] may be submitted by any of the following parties: the graduate student, the faculty mentor/research/thesis/dissertation advisor, a departmental representative/Graduate Advisor, or the campus Conflict of Interest Committee.

In addition to consulting the departmental representative/Graduate Advisor, a student may at any time seek the advice of one of the identified campus-wide resource persons, who include the Dean of the Graduate Division, Assistant Dean of the Graduate Division, the Director of Academic Services in the Graduate Division, and the Conflict of Interest Coordinator in the Office of Research.

B. Graduate Student Conflict of Interest Forms shall be submitted to the Dean of the Graduate Division for review.

Review Process

The Dean of the Graduate Division or designee shall review each form submitted. Those containing a positive disclosure will be reviewed in greater depth to determine whether the Graduate Student Conflict of Interest Subcommittee review of the disclosure is required.

- i. If the conflict of interest poses **minimal risk** of harm to the academic interests of the student, then the Graduate Dean or Dean's designee shall write a brief statement to that effect, and shall include a summary of the situation and the reasons for the decision. If there is agreement with the risk statement, the Department Chair, the student, and faculty member who has a conflict of interest shall co-sign the statement. Upon acceptance by the Dean or Dean's designee, the signed statement shall then be forwarded to the department for placement in the student's academic file; a copy will also be retained by the Dean of the Graduate Division with copies forwarded to the co-signers. Should any party become aware of new information impacting the academic interests of the student, the minimal risk statement should be reassessed and a new COI Form submitted by the department to the Graduate Division. If, on the other hand, the Department Chair, student, or the faculty member does not agree with the statement after suitable revisions have been attempted, the conflict of interest matter should then be referred to the Graduate Student Conflict of Interest Subcommittee for final resolution.
- ii. If the conflict of interest issue includes a component that may be harmful to the student, then the Dean of Graduate Division will refer the matter to the Graduate Student Conflict of Interest Subcommittee.

Subcommittee Review Process

Reviews will be performed by the Graduate Student Conflict of Interest Subcommittee ("Subcommittee") consisting of the Chair of the Conflict of Interest Committee, the Conflict of Interest Coordinator in the Office of Research, and the Dean of the Graduate Division or his or her designee. The Subcommittee shall meet as necessary.

When a disclosure is submitted for Subcommittee review, the Subcommittee shall have the following options:

- 1) Approve the project⁴ (determine that no obvious conflict of interest is present);
- 2) Conditionally approve the project to manage the conflict, subject, but not limited to, conditions such as the following:
 - Further management by, or reporting to, an appropriate Dean, Chair, or *ad hoc* departmental committee formed for such purpose;
 - Periodic reports back to the Subcommittee on steps taken to manage the conflict;
 - Divestiture of the financial interests that cause the conflict;

⁴ A project could be, but is not limited to, a textbook, software, scientific or engineering innovation, or basic/applied research that would benefit the company's interest.

- Recommendation that the Graduate Dean work with the Department to find a substitute on the student's dissertation or thesis committee for the faculty member with a conflict;
- Limitation of the length or scope of student's work with industry;
- Adoption of standard UC provisions concerning intellectual property for student's work with industry;
- All student work is to be conducted on-campus;
- Appointment of an additional member to serve on the dissertation or thesis committee as an "Oversight Member." This member is chosen by the Department Chair (or the Graduate Advisor if the Chair is the conflicted faculty member) in consultation with the graduate student and their dissertation advisor. The Oversight Member shall be from a different academic department in a reasonably related discipline.
- Any other condition that the Subcommittee feels appropriate and reasonable to manage the conflict may also be implemented.

INFORMATION PRACTICES GUIDELINES

(Revised 11/ 06)

This directive establishes certain guidelines for implementation of Section 160 and portions of Section 220-80 of the Academic Personnel Manual, and also of certain provisions of the Information Practices Act of 1977.

Section 160 does not open personnel files to the candidate. Rather it allows individuals access to non-confidential material in their files, under specified conditions. It serves as a mechanism for providing summaries of confidential material while maintaining the confidentiality of the review process. Please refer to Section 160-20b(1) for a definition of "confidential" documents. The University maintains that the Manual is consonant with the provisions of the law.

I. Responsibility

Chairpersons are responsible for properly processing most personnel actions concerning faculty members (APM 220-80 b). They should be sure to follow the APM and the steps outlined in the "Chairperson's Checklist for Academic Advancement" (Red Binder, I-22). Before the departmental recommendation is determined, the Chair must provide the candidate the opportunity to review all non-confidential documents in the review file and must provide, upon request a redacted copy of the confidential material in the file. Redaction of a letter of evaluation is defined as removal of the name, title, organizational/ institutional affiliation, and relational information contained below the signature block.

If significant new information is to be added to the personnel review file after it has been forwarded to the office of the appropriate Dean, the candidate should be informed of it (or the substance of it, if confidential) and be given an opportunity to comment on the information. Any written comment should be forwarded to the office of the appropriate Dean. This procedure is specifically required (APM 220-80 h) in the case of information requested by reviewing agencies.

Section 220-80 i states that after the final administrative decision has been communicated to the candidate, the candidate shall have the right, upon written request, to receive from the Chancellor a written statement of the reasons for the decision, including a copy of non-confidential documents and a redacted copy of the confidential academic review records (APM-160-20 b(1)). Redaction of ad hoc committee reports will consist of the removal of the names of individual members of the committee. Dean's comments, CAP reports and any correspondence between these agencies and the Associate Vice Chancellor for Academic Personnel (or designee) will be provided in their entirety.

The Associate Vice Chancellor for Academic Personnel will, upon written request, provide the copies of non-confidential documents and redacted copy of the confidential academic review records to the candidate. A copy of documents given to the candidate is retained in the personnel file of the candidate in the Office of Academic Personnel, but it is not used in any subsequent personnel reviews, nor is it considered to be part of the review process. A candidate may elect to have the documents introduced into his/ her personnel file, but he/ she must notify the Associate Vice Chancellor, Academic Personnel of that in writing. If the documents are so introduced, they then become part of the review file.

The Office of Academic Personnel is the office of record for all requests for copies and redactions of confidential documents pertaining to final personnel actions. Such copies and redactions will not be issued by other offices.

II. Access to Non-confidential Documents

- A. Academic appointees shall have the opportunity at reasonable times to inspect all documents concerning themselves, other than confidential documents, in any of the

academic personnel records maintained within the department, in the dean's office or in the Office of Academic Personnel. This includes the right to receive the first copy of such material free and subsequent copies at reasonable cost.

- B. All persons who wish to inspect the non-confidential portions of their files in the deans' office or the Office of Academic Personnel should apply in writing to the Associate Vice Chancellor, Academic Personnel.
- C. Faculty members also have the right to inspect the non-confidential portions of their files in the departmental offices at reasonable times. (Note: Departments are urged for the convenience of the department and the individual, to maintain two files--one for the confidential materials and one for non-confidential materials.)

III. Request for redacted copies of Confidential Materials (Under APM 160-20 c (1) and (2); and IPA 1798-38)

- A. Requests for redacted copies of confidential materials (including reviewing agency reports and correspondence) on personnel actions should be addressed to the Office of Academic Personnel in writing.
- B. Departments provide redacted copies of letters of evaluation prior to determination of the departmental recommendation.

IV. Application of Regulations and Laws

The Information Practices Act applies to all non-student personnel actions. In general, this means that Sections II, 111A, IV and VI of these guidelines apply to all such procedures. Other provisions apply only to those academic personnel series listed in APM 160-20 c (4).

V. Corrections, Deletions and Statements

The Academic Personnel Manual (160-30) and the Information Practices Act (1798.35 to 1798.37) provide rather similar rights and procedures for the correction of the personnel records on request of the individual who is the subject of the records, or for the addition to the file of a statement by that individual.

In the case of information that exists solely in a departmental file, the Chairperson may receive requests for changes and act upon them and may insert into the file statements by the candidate commenting upon the file.

In the case of information that exists in the files of Academic Personnel, or of a Dean, requests for changes or the insertion of statements will be addressed to the Associate Vice Chancellor, Academic Personnel, and will normally be forwarded via the Chairperson, who may comment upon them. Before changes are made by the Associate Vice Chancellor, upon formal request of the individual, the Committee on Academic Personnel will be consulted.

VI. Inspection of Personnel Records by Third Parties

The general rule is that persons (other than the subject of the records) or agencies shall not have access to academic personnel records pertaining to an individual, and shall not be furnished information from such records, without the written consent of the individual. There are exceptions to this general rule, as, for instance, in the case of a subpoena.

Chairpersons may release the following information to the indicated persons upon request:

- A. University employees may have access to the personnel records of individuals to the extent that such access is needed to perform their officially assigned University duties,

provided that such access is related to the purpose for which the information was acquired.

B. Members of the public may be informed of:

1. The employee's date of hire
2. The current job title
3. The current rate of pay of the job title
4. Organizational unit assignment (e.g., department)
5. Current job description
6. Campus address
7. Campus telephone number

C. A campus telephone book or directory.

All other requests for information concerning individual academic employees (not listed in B and C above) should be referred to the Office of Academic Personnel.

APPENDIX A

The following is the policy for material collected prior to September 1, 1992.

Section 220-80i provides that "After the final administrative decision has been communicated to the candidate, the candidate shall have the right, upon written request, to receive from the Chancellor...a written statement of reasons for that decision..."

In accordance with APM 220-80i, drafts of all such written summaries are submitted to the Committee on Academic Personnel for review and comment before being sent to the candidate. The final draft of the comprehensive summary, however, is sent only to the candidate, since it is considered to be part of the review process. A candidate may elect to have the summary letter introduced into his/ her personnel file, but he/ she must notify the Associate Vice Chancellor, Academic Personnel of that in writing. If the summary letter is so introduced, it then becomes part of the review file.

The Office of Academic Personnel is the office of record for all requests for summaries of confidential documents pertaining to final personnel actions. Such summaries will not be issued by other offices.

II. Access to Non-confidential Documents

- A. Academic appointees shall have the opportunity at reasonable times to inspect all documents concerning themselves, other than confidential documents, in any of the academic personnel records maintained within the department, in the Dean's office or in the Office of Academic Personnel.
- B. All persons who wish to inspect the non-confidential portions of their files in the Dean's office or in the Office of Academic Personnel should apply in writing to the Associate Vice Chancellor for Academic Personnel.
- C. Faculty members also have the right to inspect the non-confidential portions of their files in the departmental offices at reasonable times (Note: Departments are urged for the convenience of the department and the individual, to maintain two files--one for the confidential materials and one for non-confidential materials).

III. Request for Summaries of Confidential Materials

(Under APM 160-20c (1) (2); and IPA 1798-38)

- A. Requests for summaries of confidential materials on personnel actions should be

addressed to the Office of Academic Personnel, in writing if a written summary is desired, except that certain summaries are to be provided to individuals by the chairperson as noted in the "Chairperson's Checklist for Academic Advancement," and APM 220-d, e, and h and also 220-84b.

- B. In accordance with APM 220-80i, drafts of all such written summaries provided by the Associate Vice Chancellor, Academic Personnel will be submitted to the Committee on Academic Personnel for review and comment.

ACCESS POLICY FOR MATERIALS IN ACADEMIC PERSONNEL REVIEW RECORDS

(Revised 10/ 95)

<u>SOURCE OF MATERIAL</u>	<u>RELEASE POLICY PRIOR TO SEPT. 1992</u>	<u>RELEASE POLICY EFFECTIVE SEPT. 1992</u>
Letters of Evaluation	Summary	Redaction ³
Coded List of Referees	No Release	No Release
Department Ad Hoc Reports ¹	Summary	Redaction ³
Department letter	Summary	Full release ³
Other Department Documentation ¹	Summary	Full Release ³
Chair's separate Letter	Summary	Redaction
Dean/ Provost recommendation	Summary	Full release
Senate ad hoc committee report	Summary	Redaction
CAP recommendation	Summary	Full release
Other administrative recommendations ²	No release	Full release

1. Materials submitted with the case for review, or referred to in the case.

2. e.g., Chancellor's letter to the President on Above Scale cases.

3. Provided to candidate by department, on request.

**Academic Personnel Records Retention – Equal Opportunity/
Affirmative Action Obligations**

(Revised 10/01 09/10)

The following guidelines are based on the University of California Records Disposition Schedule, available on-line at <http://www.policies.uci.edu/adm/records/721-11a.html>

The Academic Personnel Office is the office of record for personnel files of all academic employees other than the following:

<u>Series</u>	<u>Office of record</u>
Librarians	Library
Postdoctoral Scholars	Graduate Division
Teaching Assistants, Readers, Graduate Student Researchers	Department

I. Retention of files

Documents are to be maintained as follows:

Personnel files*:

Senate faculty: Academic Personnel maintains files for Senate faculty indefinitely. If a Department or College is keeping a secondary file, that file must be maintained until the employee separate from the University.

Non-Senate Academics: Academic Personnel, as the office of record, maintains files for 5 years after separation. Departments must retain files until the employee separates from the University.

*Items that are stored electronically on line by the Academic Personnel office and are accessible to the department or college do not need to be separately maintained in the department or college.

Applicant files

Files of applicants who do not become employees are to be maintained by the department for 3 years.

Faculty appointment cases that are put forward but for review, but are ultimately unsuccessful recruitments will be maintained by Academic Personnel for 3 years.

Teaching evaluations (student comments and ESCIs) are to be maintained for the longer of:

- 1) until used in a review file, or
- 2) as long as a need is present

II. Equal Opportunity/Affirmative Action Obligations

On December 27, 1997, the Office of Federal Contract Compliance Program of the United States Department of Labor amended its rules. That office is responsible for implementing Executive Order 11246, which sets forth our obligations as an equal opportunity/affirmative action employer. One of the changes applies to our personnel record retention period. The relevant section 41 CFR 60-1, Sec. 60-1.12. **Record Retention**, reads as follows:

The United States Department of Labor sets forth specific obligations as an equal opportunity/affirmative action employer. In general, any personnel or employment record must be kept for ~~(a) General requirements. Any personnel or employment record made or kept by the contractor shall be preserved by the contractor for a period~~

of not less than two years from the date of the making of the record or personnel action involved, whichever occurs later. . . . Such records include, but are not necessarily limited to, records pertaining to hiring, assignment, promotion, demotion, transfer, lay off or termination, rates of pay or other terms of compensation, and selection for training or apprenticeship, and other records having to do with requests for reasonable accommodation, the results of any physical examination, job advertisements and postings, applications and resumes, tests and test results, and interview notes. In the case of involuntary termination of an employee, the personnel records of the individual shall be kept for a period of not less than two years from the date of the termination. . . . Where the contractor has received notice that a complaint of discrimination has been filed, that a compliance evaluation has been initiated, or enforcement procedure has been commenced, the contractor shall preserve all personnel records relevant to the complaint, compliance evaluation, or enforcement action until final disposition of the complaint, compliance evaluation or enforcement action. The term "personnel records relevant to the complaint," for example, would include personnel or employment records relating to the complainant and to all other employees holding positions similar to that held or sought by the complainant and application forms or test papers submitted by unsuccessful applicants and by all other candidates for the same position as that for which the complainant unsuccessfully applied. Where a compliance evaluation has been initiated, all personnel and employment records described above are relevant until OFCCP makes a final disposition of the evaluation.

(b) Affirmative action programs. A contractor establishment required under Sec. 60-1.40 to develop a written affirmative action program (AAP) shall maintain its current AAP and documentation of good faith effort, and shall preserve its AAP and documentation of good faith effort for the immediately preceding AAP year, unless it was not then covered by the written AAP requirement.

(c) Failure to preserve records. Failure to preserve complete and accurate records as required by paragraphs (a) and (b) of this section constitutes noncompliance with the contractor's obligations under the Executive Order and this Part. Where the contractor has destroyed or failed to preserve records as required by this section, there may be a presumption that the information destroyed or not preserved would have been unfavorable to the contractor. *Provided,* That this presumption shall not apply where the contractor shows that the destruction or failure to preserve records results from circumstances that are outside the contractor's control.

(d) Effective date. The requirements of this section shall apply only to records made or kept on or after December 22, 1997.

**PROCEDURE FOR NON-SENATE ACADEMIC
APPOINTEES CORRECTIVE ACTION AND DISMISSAL**

(Revised 05/ 07)

I. Related Policies

APM 150 provides the standards and procedures for corrective action or dismissal of non-Senate academic appointees. APM 140 describes the University policy regarding the grievance procedure for non-Senate academic appointees.

II. Background

Corrective action or dismissal may be instituted for good cause, including but not limited to misconduct, unsatisfactory work performance, or dereliction of duty. For non-Senate academic appointees who are subject to peer review for performance evaluation, demotion and dismissal shall involve the regular peer review process. Such peer review shall be advisory to the Dean of the school or college under whose jurisdiction the department or employing unit falls, the University Librarian for Library personnel, or the Dean of Director of University Extension for Extension employees. When the employing unit does not report to any of the above indicated officers, authority to take corrective action or to terminate rests with the Executive Vice Chancellor.

III. Policy

Non-Senate academic appointees are expected to conduct themselves in a manner consistent with the rules, regulations and policies of the University and to perform their assigned responsibilities.

A. Definition

1. Corrective action is a written warning, written censure, suspension without pay, or demotion for good cause, including but not limited to misconduct, unsatisfactory work performance, or dereliction of academic duty.
 - (a) Written warning is a communication that informs the appointee of the nature of the misconduct or deficiency, the method of correction, and the probable consequence of continued misconduct or deficiency.
 - (b) Written censure is a formal reprimand that conveys institutional rebuke.
 - (c) Suspension is debarment without pay from appointment responsibilities for a stated period of time.
 - (d) Demotion is reduction in rank, step, and/ or salary.
2. Dismissal is the termination of employment initiated by the University prior to the ending date of appointment for good cause, including but not limited to serious misconduct, continued unsatisfactory work performance, or serious dereliction of academic duty.

B. Application of Corrective Action and Dismissal Actions

1. Prior to instituting corrective action (other than written warning) and dismissal, efforts to resolve the problem informally should have been attempted.
2. Investigatory Leave

An appointee may be placed on immediate investigatory leave with pay, without prior written notice, for the purpose of reviewing or investigating charges of misconduct or dereliction of duty, which, in the judgment of the Chancellor, Executive Vice Chancellor, or designee, require removing the appointee from University premises. Such investigatory leave must be confirmed in writing after it is instituted.

3. Written Notice of Intent

The University shall provide a written Notice of Intent to the appointee prior to initiating the actions of written censure, suspension without pay, demotion, or dismissal. The Notice shall state: (1) the intended action, including reasons for the action and the proposed effective date; (2) the basis of the charges, including copies of pertinent materials supporting the charge; (3) the appointee's right to respond either orally or in writing within fourteen (14) calendar days of the date of issuance of the written Notice of Intent; and (4) the person to whom the appointee should respond. No Notice of Intent is required for a written warning.

4. Response to Written Notice of Intent

The appointee who receives a written Notice of Intent shall be entitled to respond, either orally or in writing, within fourteen (14) calendar days of the date of issuance of the written Notice of Intent. The response, if any, normally shall be reviewed at a higher administrative level than the administrator proposing to institute the corrective action or dismissal.

5. Written Notice of Action

In the event the University determines to institute the corrective action or dismissal following the review of a timely response, if any, from the appointee, and within thirty (30) calendar days of the date of issuance of the written Notice of Intent, the University shall issue a written Notice of Action to the appointee of the corrective action or dismissal to be taken, giving the effective date. The Notice of Action also shall notify the appointee of the right to grieve the action under Section 140 of the Academic Personnel Manual. The Notice of Action may not include an action more severe than that described in the Notice of Intent.

6. Representation

An appointee may be self-represented or may be represented by another person at any stage of the corrective action or dismissal process.

7. Review of Proposed Corrective Action or Dismissal

- a. Review shall normally be addressed by the appropriate referral officer to the appropriate adjudicating officer (see Appendix A for designation of referral and adjudicating officers).
 - i. The adjudicating officer shall appoint a three-member committee of University employees, one of whom shall be the Director of Equal Opportunity, and the remaining two shall be employees in the same or similar title and status as the affected individual. This committee shall investigate and advise the adjudicating officer of the appropriateness of the proposed action.
 - ii. After timely receipt of the committee's recommendation on the proposed action, the adjudicating officer shall advise the Chancellor, Dean, Dean of

the Graduate Division (in cases involving student titles), the referral officer, and the individual's supervisor, if other than the referral officer, of any action to be taken.

When the sanction to be imposed involves dismissal, the adjudicating officer is required to give notice of no less than 30 days from the date of the written Notice of Intent.

iii. The individual shall have the right to appeal this action under APM 140.

8. Extension of Time

Prior to expiration of any time limit stated in this policy, extensions may be granted by the Chancellor, Executive Vice Chancellor, or appropriate designee.

APPENDIX A

TITLE, SERIES OR CLASS OF INDIVIDUAL CHARGED	REFERRAL OFFICER	ADJUDICATING OFFICER
Professional Research Specialist Post Graduate Research Visiting Post Graduate Project Scientist	Department Chair or PI <i>Director</i> who has authority over individual's appointment	Dean of the School or College who has jurisdiction over dept. or employing unit for Academic Departments, Vice Chancellor for Research for ORUs
Librarians	Head of Unit	University Librarian
University Extension Personnel	Director of Division	Associate Vice Chancellor who has jurisdiction over unit

PROCEDURES FOR NON-SENATE ACADEMIC GRIEVANCES

(Revised 05/10)

Sources: APM 140 - General University Policy Regarding Academic Appointees, Non-Senate Academic Appointees/ Grievances

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 Relations shall serve as the liaison office for any grievance proceedings conducted under APM 140 and Red Binder ~~HH-35~~ IX-25.

Step I Informal 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.
- 2) The grievance must include the following information:
 - a) If alleging that a specific act was arbitrary or capricious, the specific administrative act must be identified 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 the section and specific provision alleged to have been violated and how those provision were violated;
 - 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) How the grievant was adversely affected;
 - f) The date of any attempted ~~at~~ informal resolution and identity of the individuals involved; and
 - g) The remedy requested.
- 3) After receiving the written grievance, 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 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 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.

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 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 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 violations of the following may be submitted to the hearing officer.

- Nondiscrimination (APM 035)
 - Layoff and Involuntary Reduction in Time (APM 145)
 - Corrective Action (Censure, Suspension, Demotion)
 - Dismissal
 - 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.
- 4) The grievant may elect that the grievance be heard by: either a University hearing officer or a non-University hearing officer. Election shall be in writing and shall be final.
- (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 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 shall convene a hearing in which each party shall have the opportunity to present evidence and cross-examine witnesses. The hearing shall 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 shall provide the Associate Vice Chancellor with a written statement of findings and recommendations within 30 calendar days of the close of the hearing.

The hearing officer shall not substitute his/ her judgment for the academic judgment of a

peer review committee or administrative officer, nor shall the hearing officer be empowered to evaluate the academic qualifications or competence of academic appointees.

- 10) The Associate Vice Chancellor shall issue a final written decision within 30 calendar days of receipt of the findings or recommendations of the hearing.
- 11) The Associate Vice Chancellor shall provide to the grievant a copy of the findings and recommendations of the hearing officer, and a statement of the reasons if the recommendations of the hearing officer are rejected or modified.

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

(Revised 09/ 09)

I. Related Policies

A PM 145 Layoffs-Non-Senate Academic Appointees

A PM 140 Appeals-Non-Senate Academic Appointees

II. Background

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

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

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

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

B. Determination of Layoff and Involuntary Reduction in Time.

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

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

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

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

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

IV. Procedures

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

Except for Continuing Education Specialists (APM 340-20-e), written notice of layoff or involuntary reduction in time must be given to an appointee covered by this policy at least thirty days in advance of the effective date. It is recommended that the appointee be given as much additional notice as possible. Appropriate pay in lieu of notice may be given.

F. Layoff Status.

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

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

Preference for re-employment shall be granted to:

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

G. Reemployment

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

H. Appeals

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

EXHIBIT A

LAYOFF AND INVOLUNTARY REDUCTION IN TIME

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

Lack of work _____

Lack of funds _____

NAME _____

TITLE _____

STEP _____

MONTHS OF SERVICE _____

ADMINISTRATIVE UNIT _____

FUNDING SOURCE(S) _____

Name

Account number

EFFECTIVE DATE OF ACTION _____

REASONS: _____

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

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

Name _____

Rank _____

Step _____

Months of Service _____

Reason not selected: _____

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

I certify that the above information is correct.

Principal Investigator

Date

Department Chair/ Unit Head

Date

Dean/ Director

Date

APPROVED:

Director,
Equal Opportunity

Date

Vice Chancellor for Academic Personnel

Date

ACADEMIC APPOINTEES NON-SENATE MEMBERS
(FACULTY)

Adjunct Series

- Assistant Adjunct Professor
- Associate Adjunct Professor
- Adjunct Professor

Visiting Titles

- Visiting Assistant Professor
- Visiting Associate Professor
- Visiting Professor

*Lecturer

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

ACADEMIC APPOINTEES NON-SENATE MEMBERS
(NON-FACULTY)

*Librarian Series

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

Miscellaneous Titles

- Tutor
- Academic Coordinator
- Academic Administrator

UNEX Titles

- Continuing Education Specialist
- Continuing Educator
- Program Coordinator

Postgraduate Research

- Visiting Postgraduate Research

Professional Research Series

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

Specialist Series

- Junior Specialist
- Assistant Specialist
- Associate Specialist
- Specialist

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