

Summary of changes

I-8 Off-Scale

Removes limits on additional merit to salaries that exceed the off-scale maximums. Clean-up of language regarding off-scales at Step IX and above scale.

I-10 Reconsiderations

Change in wording regarding basis for reconsideration, from “reasonable” to “fair”

I-17 New Ladder Faculty Commitments

Clarification of procedure for changes in new hire commitments. Modification of wording regarding for purchase housing wait list. PPS instruction for payment of relocation allowance.

I-39 Assistant Professor Reviews

Time frame for submission of materials in a terminal appointment reconsideration.

I-43 Merit to, or within, Above Scale

Clarification of criteria required for Above Scale merit increases

II-1 Non-Senate Faculty

Added instructions regarding pay-basis for non-senate faculty. Clarification of recall percent-time restrictions. Correction of referenced MOU article. Addition of statement on form letter regarding other UC employment.

II-8 NSF resource allocation requests

Deletion of language that was removed from contract

II-31 Short term teaching

Expanded policy regarding various types of short term teaching assignments and appropriate procedures

II-33 Without Salary Teaching appointments

New section. Provides guidance regarding when without salary appointments may be requested.

III-1 General Information; research appointments

Clarification of percent-time restriction on recall appointments

III-9 Documents to be submitted for Research Reviews

Clarification of salary information to be included on the Research Title Review form

III-17, 19, 20 Postdocs and VI-3 Associates

Technical change; correction of salary scale table number

V-31 Faculty Administrators at less than 100% time

Addition of title codes for administrative appointments

VI-1 Leaves of Absence

Language clean-up to make policy applicable to all academic appointees. Delete redundant language.

VI-2 Sabbatical Leave

Wording regarding return to service moved from VI-1 to this section.

VI-3 Sick leave

Accurately reflect sick leave policies for Postdoctoral Scholars

VI-6 Vacation

Language clean-up. Accurately reflect vacation policies for Postdoctoral Scholars.

VI-7 Other leaves

Expanded policy regarding Educational Leave for Lecturers in the SOE series. Addition of policy and procedure for supplemented Special Research leaves.

VI-10 Additional Compensation, VI-14 Extramurally funded research

Clarification of payroll process for release time during the academic year

VI-17 Additional compensation

Update of DOS code information based on system-wide changes

IX-30 Layoff and Involuntary Reduction in Time, Non-Senate Academic Employees

Update of titles covered by the policy

I-10
RECONSIDERATION
(Revised ~~02/10~~ 10/11)

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

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

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

I-17
NEW LADDER FACULTY COMMITMENTS
(Revised ~~02/10~~ 10/11)

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

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

Please note: Revisions in recruitment commitments require *approval by the Associate Vice Chancellor for Academic Personnel, the same approval as the original commitment.* Requests for revisions should be made in memo form to the appropriate Dean's office. *For revisions being requested prior to the faculty member's start date, a revised commitment sheet will be completed by the College and forwarded to Academic Personnel for review. For revisions being requested after the faculty member's start date, the Dean may simply endorse the departmental request and forward it to Academic Personnel for review, issued by the Academic Personnel office as approval or denial of the request.*

Housing

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

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

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

Relocation allowance

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

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

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

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

I-39
**ASSISTANT PROFESSOR REVIEWS
TERMINAL APPOINTMENTS
AND DECISIONS TO DENY PROMOTION**
(Revised ~~10/00~~ 10/11)

A proposal not to reappoint an Assistant Professor may originate with the Department Chairperson as a result of departmental review during the consideration of reappointment. In this event, the case shall be reviewed in accordance with the provisions of APM 220-82 and 220-84.

In any case in which non-reappointment of an Assistant Professor is considered, there shall be review by the Committee on Academic Personnel. An ad hoc committee shall be appointed if the Chancellor or the Committee on Academic Personnel requests it.

During a review of a reappointment, a formal appraisal, or a promotion of an Assistant Professor (or other appointee of equivalent rank), if the Chancellor 's (or designee's) preliminary assessment is to make a terminal appointment or to deny promotion the Department Chair and the candidate shall be notified of this in writing by the Chancellor (or designee). The candidate also shall be notified of the opportunity to request access to the records placed in the personnel review file subsequent to the departmental review in accordance with APM - 160-20 c. When the candidate is provided copies of such records, copies shall also be provided to the Department Chair. Copies of such records will also be provided to the Dean if the materials are used or referred to in the response of the candidate or Chair. The candidate and the Chair, after appropriate consultation within the department, shall then have the opportunity to respond in writing and to provide additional information and documentation. The candidate may respond either through the Department Chair or directly to the Chancellor (or designee). This response must be submitted within 10 working days of the date the candidate receives the reviewing agency reports. The personnel review file, as augmented by the added material, shall then be considered in any stage of the review process as designated by the Chancellor (or designee) before a final decision by the Chancellor is reached. The Chancellor's final decision to make a terminal appointment or to deny promotion requires the appropriate preliminary assessment notification process and opportunity to respond being provided to the candidate as specified herein.

In accordance with APM 220-80 i after the final decision, the candidate may request a copy of non-confidential documents and a redacted copy of confidential documents. Such requests should be made to the Associate Vice Chancellor for Academic Personnel.

The above notification procedure provides the opportunity for reconsideration and possible reversal of the preliminary assessment for a terminal appointment or denial of promotion. For this reason, reconsideration of a terminal appointment or denial of promotion will only take place when there is substantial evidence of significant improvement in the faculty member's record of scholarly achievement, particularly with respect to those elements of the record that have been previously identified as areas of weakness. When these conditions are met, a request for reconsideration of a terminal appointment or denial of promotion, justified by a brief review of the new evidence that supports the request, may be submitted by the department, to the Dean of the College/School/Division. If permission is granted by the Dean, the case may be re-submitted for reconsideration; however this will not extend the terminal appointment end-date. *Any such request may include information only through September 15 of the eighth year of service and must be submitted to the Deans office by the second Monday in November.*

MERIT TO, OR WITHIN, PROFESSOR ABOVE SCALE

(Revised 01/09 10/11)

Advancement to Professor Above Scale is reserved for scholars and teachers of the highest distinction (1) whose work of sustained and continuing excellence has attained national and international recognition (2) whose University teaching performance is excellent, and (3) whose service is highly meritorious. Advancement to Professor Above Scale will normally occur after at least four years of service at Professor 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 of the professorship. 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 *accomplishment that demonstrably exceeds in every review area the already high expectations for achievement at this level.* *outstanding accomplishment.* *Cases for merit increases at the higher percentage must be justified by evidence of significant new achievement that exceeds expectations at this high level.* *Examples include such as exceptional research productivity or professional active, the publication of a major book, or significant recognition such as distinguished awards, prizes, endowed lectureships, or elections, or extraordinary university service.* The normal interval between salary increases is four years. Accelerations at intervals of less than four years or of more than 7% *are discouraged except for* *will be granted only in* the most superior cases, *supported by* *and must be justified by strong and* compelling evidence *and a reasoned* argument why a 7% increase should be exceeded or an exception to the four-year interval should be made. *that demonstrates how the expected metrics after four years for the salary increase have already been met.*

I-8
OFF-SCALE SALARIES
(Revised ~~11/06~~ 10/11)

I. General Policies

The "special" steps (Red Binder I 37) ~~should not be used in order to respond to market pressures in various academic areas.~~ In instances of market pressures, efforts should be made to separate the issue of academically merited rank and step from the issue of the requisite salary needed to recruit or retain a member of the faculty. For those academic areas in which market pressures are a consideration, departmental recommendations for appointment should reflect (a) a recommended rank and step appropriate to academic and professional achievement; and (b) an appropriate off-scale together with documentation of the market conditions that justify it.

Salaries should be on-scale to the greatest extent feasible. Nevertheless, when properly justified, appointment or advancement to a position with an off-scale salary may be approved in exceptional situations which cannot properly be accommodated at the regular steps. For example:

- a) competitive market considerations in appointment and retention cases;
- b) recognition of special services or other achievements not normally recognized by on-schedule or accelerated step advancement;
- c) consideration of salary equity in cases of appointment in a different title series.

Off-scale salaries for Assistant Professors may be between \$100 above the designated step and \$100 below the equivalent step in the next rank. Off-scale salaries for Associate Professors may be between \$100 above the designated step and \$100 less than one step higher in the next rank. Off-scale salaries for Professors 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 Professors at Steps VI through IX, no off-scale salary in excess of 10 percent above Step IX will be approved. Exceptions to these limits may be granted in cases of recruitment or retention upon approval of the Chancellor. ~~Off scale supplements that exceed the stated limits may be carried forward in future advancements but no additional off scale may be added.~~ *A faculty member who has advanced beyond the off-scale limit through recruitment or retention, may receive further increases in off-scale as part of the normal review process, upon the approval of the Chancellor.*

For faculty already at Step IX, consideration for further merit increase within Step IX is reserved for cases of highly meritorious contributions to teaching, research, and service, which fully meet the performance expectations for faculty at the top step of the professorial ladder and which demonstrate progress towards eventual advancement to Above Scale status.

Normal merit increases may be proposed at the full dollar increment between the on-scale salary at the current step and the on-scale salary at the prospective step. The off-scale supplement can be increased or decreased at each merit review, based on performance.

~~Further guidelines for off scale salaries are spelled out in APM Sections 620-16 and 620-18.~~ *At the time of a cost of living or range adjustment, academic employees with off-scale salaries will receive the same dollar increase in salary as someone on-scale at the same rank and step.* In addition, when a person is appointed or advanced to an off-scale salary, the Chancellor may specify that the salary is to be unaffected by the first and/or any subsequent range adjustment.

~~H. Merit Or Appointment To An Off-Scale Salary Above Step IX~~

~~To be eligible for an off-scale salary above the top of the salary scale, a faculty member must be appointed or advanced to Professor, Step VI or greater. For faculty already at Step IX, consideration for further merit increase within Step IX is reserved for cases of highly meritorious contributions to teaching, research, and service, which fully meet the performance expectations for faculty at the top step of the professorial ladder and which demonstrate progress towards eventual advancement to Above Scale status. No salary in excess of 10 percent above Step IX will be approved except in conjunction with advancement to Above Scale status. Exceptions to this limit may be granted in cases of recruitment or retention upon approval of the Chancellor. Off scale supplements that exceed the stated limit may be carried forward in future advancements but no additional off scale may be added.~~

II-1
UNIT 18, Non-Senate Faculty
Lecturer and Supervisor of Teacher Education Series
(Revised ~~01/09~~ 10/11)

I. Definition

These titles are used to designate individuals who are appointed on a temporary or continuing basis to teach courses at any level. This series does not include the titles Lecturer PSOE, Lecturer SOE, Senior Lecturer PSOE and Senior Lecturer SOE. (Red Binder I-56)

Policies and procedures regarding terms and conditions of appointments in these titles which are not included in the Red Binder are contained in APM 283 and the Memorandum of Understanding (MOU) for the Non-Senate Instructional Unit (Unit 18).

II. Ranks and Steps

Lecturer and Senior Lecturer:

Salaries are found on the Unit 18 Academic Standard Table of Pay in the University Salary Scales.

Individuals who have full or shared responsibility for instruction of assigned courses for a specified period of time may be appointed to the title Lecturer. Promotion or appointment to the Senior Lecturer title should be considered for appointees who qualify for the Lecturer title, who provide service of exceptional value to the University.

Supervisor of Teacher Education:

Salaries are found on the Unit 18 Supervisor of Teacher Education pay scale.

This title is used only in the Graduate School of Education, Teacher Education Program

III. Appointment Criteria

Initial appointment to these titles requires demonstrated competence in the individual's field. Initial appointment to the Senior Lecturer title also requires appropriate professional achievement and experience.

IV. Term of Appointment

- A. During the first six years of service, appointments and reappointments to these titles are normally made for terms of one year or less. A year of service is defined as 3 quarters of qualifying Unit 18 service. Qualifying service is service in any Unit 18 title at any positive percentage of time in the same department. Without salary appointments and Summer Session appointments do not count as Unit 18 quarters of service.

The employee must be notified in writing of the following: "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 employee must also be informed of the following:

- Title of the position, name of employing department, and name of the individual to whom the appointee will report
- Salary rate and percentage time
- Work and pay period
- The nature of the appointment and the general responsibilities
- The web site addresses for the University and the UC-AFT

- B. A reappointment which commences after six or more years of service within the same department at UCSB will be a Continuing Appointment (See Red Binder II-8 and II-10).

- C. All assignments must conform to the Workload Statement approved for the Department.

V. Compensation

- A. The source that provides compensation for service under these titles must permit teaching.
- B. Individuals appointed to these titles are compensated at a rate within the published "Lecturer" range and in accordance with the Unit 18 Academic Standard Table of Pay Rates. Senior Lecturer salaries begin at approximately the rate for Professor, Step I. Determination of rate at initial appointment is based on professional qualifications.
- C. At the time of appointment to a 10th quarter of service within the same department, a pre-six lecturer will be given a two- step salary increase if the individual has not received a two-step within range salary increases during the prior 9 quarters of service.
- D. An appointee who is reviewed for a Continuing Appointment(an Excellence Review) shall be reviewed for a merit increase in accordance with the guidelines in Red Binder II-10 . Subsequent merit reviews will be conducted every three years. At such time, a Continuing Appointment lecturer who is found to be excellent will receive a merit increase of at least two steps.
- E. Personnel actions are effective July 1 provided employment is to be for three consecutive quarters. Payment in this instance is at the 1/12th rate. Personnel actions for lesser periods are effective October 1 for fall quarter, January 1 for winter quarter and April 1 for spring quarter. Payment is at the 1/9th rate. *If the Lecturer concurrently holds another appointment at UCSB the decision to appoint as 9/12 or 9/9 may be dependent on the basis- paid- over of the other appointment. Departments are encouraged to consult with the College or Academic Personnel Analysts in these situations.*

VI. Reappointment and Advancement

- A. Reappointment that commences prior to completion of six years of service in the same department.

A reappointment to one of these titles requires an assessment of the performance of the individual in accord with the department assessment procedures. Assessments are to be made on the basis of demonstrated competence in the field, demonstrated ability in teaching, academic responsibility, and other assigned duties. Reappointment to the Senior Lecturer title also requires service of exceptional value to the University. See Red Binder II-6 for procedural guidelines.
- B. Appointments and reappointments that commence after six or more years of service in the same department.

See Red Binder II-8 for procedures to be followed with respect to resource allocations and Red Binder II-10 for procedures to be followed in the Personnel Review process. ~~The Continuing Appointment Review form (Red Binder II-15) should be used for all Excellence Reviews and subsequent merit reviews for Continuing Appointment Lecturers and Supervisors of Teacher Education (Red Binder II-10).~~

The department must submit annual workload requests for all Continuing Lecturers and Supervisors of Teacher Education to the Dean for approval. The statement must clearly identify any temporary or permanent increases in FTE. (see XI below)
- C. Department Chairpersons have responsibility for administering departmental consideration of personnel actions regarding positions with titles in this series. Departmental evaluations and recommendations regarding appointments and reappointments shall be made pursuant to departmental procedures and in accordance with the Memorandum of Understanding.

VII. Restrictions

- A. Graduate level courses may be taught by appointees to these titles with the approval of the Graduate Council.
- B. Registered UC graduate students may not be appointed to these titles. Degree candidates who are

not currently registered may be appointed as lecturer by exception. Such appointment requires prior approval of the Graduate Division.

- C. Recall appointments as Lecturer or Senior Lecturer may not exceed 43% time. ~~over an academic year.~~

VIII. Non-reappointment, Reduction of Time, and Layoff

- A. No notice of non-reappointment is required for appointments that terminate on the scheduled end date when total service is less than six years. Termination prior to the scheduled end date must be in compliance with MOU Article 18 17 C.2.
- B. If an individual holding a Continuing Appointment that commenced after six or more years of service in the same department has their workload reduced by *up to* one course *or duties equivalent to one course*, 30 days notice is required. If more than one course is eliminated, 60 day notice is required. A twelve-month notice will be given in cases of layoff. If less than twelve months notice is given, pay in lieu of notice will be given in accordance with MOU Article 18 17.D.2. Any Layoff must comply with the provisions of Article 18 17.B

VIII IX. Approval Authority

<u>Action</u>	<u>Authority</u>
Workload	Dean
Continuing Appointment FTE requests	AVC
Appointments for 1 year or less	Dean
Years 1-6, Merits	Dean
Excellence Review	AVC
Promotion to Sr. Lecturer	AVC
Continuing appointment merits	Dean

IX. Sample Chair's letter for Unit 18 appointments (Lecturer, Supervisor of Teacher Education)

TO: Dean
FROM: Department Chair
RE: Appointment of _____

The department of _____ proposes the appointment of _____.

Title: _____

Quarters: _____ Academic Year: _____

Percent time: _____ FTE: _____

Annual salary: _____ Current Year Cost: _____

Salary at Previous Appointment: _____

Quarters of service to date in Unit 18 titles in this department: _____

Date(s) of Affirmative Action Search(es): _____

Workload (by quarter; including total/quarter)

<u>Course</u>	<u>#Units</u>	<u>Hrs/Wk</u>	<u>Enrollment</u>	<u>Category</u>	<u>#IWC</u>
---------------	---------------	---------------	-------------------	-----------------	-------------

Which, if any, of the assigned courses are augmentations? Are these temporary or permanent augmentations?

Description of non-instructional assignments, if any: _____

Reports to: _____

Qualifications and experience: _____

If candidate will hold another UCSB appointment concurrently with the proposed Lecturer appointment, provide the title, department and pay basis for the other appointment: _____

For reappointments also include:

When and by whom was the assessment conducted? _____

Evaluation of teaching: _____

Policy exception request and justification: _____

XI. Sample Chair's letter for Continuing Lecturer annual workload
(submit one copy, no other materials required)

To: Dean

From: Department Chair

Re: Workload assignment for _____, Continuing Lecturer

The Department of _____ proposes the following workload for _____.

Quarters: _____ Academic Year: _____

Percent time: _____ FTE: _____

Annual salary: _____ Current Year Cost: _____

Workload (by quarter, including total IWC/quarter)

<u>Course</u>	<u># Units</u>	<u>Hrs/Wk</u>	<u>Enrollment</u>	<u>Category</u>	<u>#IWC</u>
---------------	----------------	---------------	-------------------	-----------------	-------------

Which, if any of the assigned courses are augmentations to the permanent FTE allocation for this Lecturer?
Are these temporary or permanent augmentations?

Description of non-instructional assignments, if any: _____

Reports to: _____

II-31
SHORT TERM TEACHING
GUEST LECTURERS
(Revised 11/06 10/11)

Departments may occasionally have need for a short-term, less than one full quarter, teaching appointment. Depending on the nature of the assignment, various types of appointments may be appropriate.

Guest Lecturers not employed by UC

Guest Lecturers (non-UC faculty) are limited to service of 2 weeks or less. Guest Lecturers are not the instructor of record. Guest Lecturers who are not otherwise employed by UC may be compensated for travel and living expenses through an honorarium paid from the department's supplies and expense budget. The Department Chair or P.I. may sign for honoraria of \$1,000 or less; honoraria of \$1,000-5,000 must be approved by the appropriate Dean or Vice Chancellor. Honoraria exceeding \$5,000 are approved by the Executive Vice Chancellor or Chancellor. Supporting documentation should include a curriculum vita and a statement of purpose.

Foreign visitors must have the proper visa if any form of financial payment is to be made to them. A J1, HI and FI visa, issued by this campus, will allow payment of payroll and non-payroll expenses. A B1 will allow the payment of travel and subsistence only (i.e., university per diem rate and airfare expenses). A B2 will not allow reimbursement or payment of any kind. Questions regarding these matters should be directed to the Office of International Students and Scholars.

Guest Lecturers from another UC campus

For payment to a reimbursement of UC faculty for visits of two weeks or less, see Red Binder VI-15, one-time payments. Visits for a longer period must involve appointment in an appropriate teaching title. Contact the Academic Personnel office for assistance in computing earnings for partial quarter service.

Guest Lecturers or other short term teaching by current UCSB employees

Prior approval from Academic Personnel is required prior to any additional employment of a current UCSB employee. For employees already employed at 100% departments are strongly urged to contact Academic Personnel prior to making a commitment or having the individual provide services. In cases where the employee holds a full time staff position, Human Resources must also be consulted. Individuals approved for appointment as a guest lecture or other short term teaching, such as emergency partial quarter replacements, will be appointed in an appropriate teaching title using the TFR dos code.

For appointments of more than 2 weeks, refer to the appointment checklist, Red Binder VI-21.

Reimbursement Policies And Procedures for Foreign Lecturers And Guests

It is not uncommon for a campus the size and academic stature of UCSB to invite foreign lecturers and guests to the campus. In many instances it is desirable to offer the individual travel and per diem costs as well as appropriate honorarium.

II-33 (new)
WITHOUT SALARY TEACHING APPOINTMENTS
(10/11)

In order to serve as the instructor of record for a course that provides campus credit, or to formally advise graduate students, it is necessary to be appointed to a faculty title. In general, an individual who will perform these duties should be paid under the appropriate title as outlined in Red Binder section II. There are rare situations where use of a without salary teaching title may be appropriate. The without salary teaching title will normally be in either the Lecturer or Adjunct series, dependent upon the qualifications of the individual and the range of duties to be performed.

- A. Individuals holding non-Senate academic research titles (e.g. Professional Researcher, Project Scientist) may be appointed to a without salary teaching title to teach classes that are directly related to the individual's research program and/or to serve as advisors to students. Note that effort reporting implications for researchers paid from external sources must be taken into consideration.
- B. Individuals holding non-research academic titles (e.g. Academic Coordinator) or staff titles (e.g. Environmental Health & Safety Officer) may be appointed to a without salary teaching title when 1)the class being taught is directly related to the individual's regular job duties and 2) the individual would suffer a loss in pay if time in the regular position were reduced and replaced with a paid teaching title appointment.
- C. In addition, there are occasional situations when an individual not otherwise employed by the University offers to teach a course without salary. In such cases it must be clearly documented that the individual is volunteering to teach without salary. Departments are encouraged to consult with their Dean's office or Academic Personnel prior to initiating without salary teaching agreements.

II-8
GUIDELINES FOR DEPARTMENTAL SUBMISSIONS OF NSF
RESOURCE ALLOCATION REQUESTS
(Revised 04/09 10/11)

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

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

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

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

Justification of departmental need should be made in the context of the department's five-year plan and only after full assessments of the programmatic and fiscal components of instructional need. In assessing such requests, reviewing agencies will consider whether the courses associated with the requested provisions are elective or required; how frequently they have been offered over the last three years and with what enrollment; how these courses are normally staffed, whether ladder faculty are currently available to teach them, and the plans for recruiting ladder faculty. Also considered are plans for program development; the character and needs of the academic programs in the department; competing demands for faculty positions, and the appropriate balance of temporary and ladder positions within the department. When, as a result of this assessment, it is determined that the courses covered by the proposed Continuing Appointment should continue to be taught by a non-senate faculty member for the next year, the University will consider that the instructional need test has been met.

Instructional need will not exist when:

- a) A Ladder faculty member or Lecturer SOE is designated to teach the course(s) during the next academic year.
- b) A Teaching Assistant or Associate is designated to teach the course(s) during the next academic year.
- c) A Visiting Professor or Adjunct Professor is assigned to teach the course(s) during the next academic year.

- d) The assignment of the non-senate faculty to teach the course(s) conflicts with established departmental academic program requirements for intellectual diversity
- e) ~~Courses in the area in which the non-senate faculty has taught and is currently qualified to teach will not be offered during the initial appointment year.~~

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

Augmentation of Continuing Appointment base:

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

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

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

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

A description of the procedure whereby the department arrived at its recommendation including a tabulation of any vote taken by the department faculty regarding recommendation of the case should also be included in the departmental needs request. If the department makes a decision to not request a Continuing Appointment resource allocation, the Chairperson should communicate that decision and the justification for the decision by memo to the Dean no later than the deadline established in the annual call. The case will then be reviewed by the Dean and Associate Vice Chancellor for Academic Personnel for conformity with MOU requirements and campus policy.

III-1
OTHER ACADEMIC TITLES

General Information

(Revised ~~10/10~~ 10/11)

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 IX-20) and the Policy and Procedures on Non-Senate Academic Grievances (Red Binder 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-9
DOCUMENTS TO BE SUBMITTED BY THE CHAIR
RESEARCH REVIEWS
(Revised ~~10/10~~ 10/11)

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? Are the listed 'current' and 'proposed' salary rates the total salary rate, inclusive of any off-scale supplement?
- 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), 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?

FACULTY ADMINISTRATORS LESS THAN 100% TIME

(40/40 Revised 10/11)

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 Administrator 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. *Stipend will be paid using the following title codes:*

0803 Associate Vice Chancellor

1010 Associate Dean

1096 Department Chair

1094 Department Vice Chair

0900 Director

0910 Associate Director

0812 Faculty Advisor

1040 Dean-Extended Learning

1099 Interim or Acting in any of the above. Other administrative service when approved by the Executive Vice Chancellor

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/acadv/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.

VI-1
LEAVES OF ABSENCE
(Revised 01/08-10/11)

Policies on Leaves of Absence for both ~~nine-month~~ academic-year appointees and ~~eleven-month academic~~ fiscal-year appointees are outlined in APM 700 - 760. The following contains procedures on the Santa Barbara campus relating to these policies.

I. General

- A. Specific regulations have been established by The Regents and the President on certain types of leaves of absence. These are:
1. Sabbatical Leave (APM 740)
 2. Sick Leave (APM 710)
 3. Family and Medical Leave (APM 715)
 4. Vacation (APM 730)
 5. Holidays (APM 720)
 6. Leave to attend Professional Meetings (APM 752)
 7. Miscellaneous Leaves (APM 750, 751, 758, 759)
 8. Parental Leave, Childbearing and Active Service Modified Duties (APM 760)
- B. Because ~~nine-month~~ academic-year appointees are expected to be present from the beginning of the Fall quarter through the end of the Spring quarter, any appointee returning after the beginning of the Fall quarter or leaving before the end of the Spring quarter, should apply for a leave of absence in accordance with the applicable policy.
- C. ~~A~~ The faculty member must submit their leave request to his/her the Department Chair at least 45 days in advance of the begin date of the pay period of the quarter in which the leave is to be taken, unless circumstances beyond the control of the faculty member make this impossible. Requests for sabbatical leaves must be submitted 3 months in advance of the begin date of the pay period for the leave.
- D. Leave requests for periods of ~~from~~ 8 to 30 calendar days (other than vacation and holiday leave) must be accompanied by a memo from the Department Chair or Director endorsing the leave (see V below). Leave requests for more than 30 days also require input into the payroll system. **NOTE:** A leave without salary must be entered into the payroll system regardless of the length of the leave.
- E. All academic employees are covered by FML, CFRA and FEHA. In most cases university policy provides greater coverage than that required by State and Federal law. Please see the appropriate APM sections, as listed above, for information concerning coordination of University policy and State and Federal Law. FML will normally run concurrently with other approved leave.

II. Leaves and the Eight Year Probationary Period; Assistant Professors and Lecturers PSOE

- A. Childbearing, Parental Leave or a combination of both, which is equal to or exceeds one quarter and which is not greater than one year, whether with or without salary, is automatically excluded from service toward the eight-year probationary period. The Assistant Professor or Lecturer PSOE faculty member must inform the Department Chair in writing before, during, or within one quarter after the leave, if he/she wishes the time to be included as service toward the eight-year period. It should be noted that this is considered time excluded from the tenure/SOE clock and the Assistant Professor or Lecturer PSOE faculty member should not be expected to produce any additional materials/ publications because of this exclusion. Any materials/publications that are produced, however, should be considered in the next appropriate review.
- B. A period of Active Service-Modified Duties is included as service toward the eight-year probationary period or toward other service limits described in APM 133.
- C. Upon request of an Assistant Professor or Lecturer PSOE faculty member who has 50 percent or

more of the responsibility for the care of an infant up to age two, or a child under age five newly placed for adoption or foster care, an extension of the probationary period of up to one year may be granted by the Associate Vice Chancellor for Academic Personnel. The request for an extension must include a written statement by the faculty member certifying that he/she has 50 percent or more of the responsibility. Requests for such extension must be made within two years of a birth or adoption, and may not be made after the tenure review has begun. There is a limit of two such extensions during the probationary period to provide for birth or adoption.

- D. With the exception of Childbearing or Parental Leave, periods of leave, either with or without salary, are included as service toward the eight-year period. Exception may be granted only if requested in conjunction with the original leave request, or in the case of sick leave, within one quarter or semester after the leave is taken. The Associate Vice Chancellor for Academic Personnel, after consultation with the Committee on Academic Personnel, may determine that the activity undertaken during the course of the leave is substantially unrelated to the individual's academic career.
- E. For purposes of review for advancement or promotion accomplishments produced during the leave period will be considered as part of the total record, but the period of extension shall be excluded when evaluating the rate of research or teaching performance.

III. Leaves and Sabbatical Leave Accrual

- A. Sabbatical leave credit is not accrued during a period of leave with or without pay. Credit will accrue if an absence is for less than one-half of a quarter.
- B. Sabbatical leave credit will accrue during a period of Active Service-Modified Duties when the duties are equivalent to at least 50% of normal duties. When such is the case, the Chairperson's endorsement of a period of Active Service-Modified Duties should include a statement to that effect.
- C. Sabbatical leave credit is not accrued during periods of service when more than 50% of the appointment is paid from extramural grant funding. Payment from extramural funding requires appointment in a Research title that does not allow accrual of sabbatical leave credit.

IV. Termination following a leave

- A. Faculty are required to return to active service following a sabbatical leave for a period of time equal to the leave. In the event that the faculty member does not return, they will be held responsible for payment of any salary received during the sabbatical leave. Transfer to another UC immediately following a sabbatical leave does not require repayment of salary.
- B. Colleges may choose to apply the policies concerning return to service following a sabbatical leave to other paid leaves.

IV. Chair's/Director's Request For Leave Approval Sample Letter

Date

TO: Dean/Associate Vice Chancellor for Academic Personnel

FROM: Department Chair/Director

RE: Request for _____ Leave during 20__-20__ for Professor _____
(Type of Leave) (Name)

I endorse the request of Professor _____ for a _____ leave
(Name) (Type of Leave)
for the period of _____ through _____ [for the _____ quarters.] A
(Date) (Date) (Fall/Winter/Spring)
copy of the written request is attached. Professor _____ will return from the
(Name)

leave on _____.
(Date)

The purpose of the leave is to _____
(Explanation)

(For sabbatical leave include the location while on leave, collaborator, if applicable, source and amount of financial support while on leave, sabbatical leave credits to be used and sabbatical leave credit balance, as well as any request for forfeit or liens of sabbatical leave credits).

Professor _____ will receive _____% income from UC during the period of the
(Name) (percent)
leave (or will be without salary),

Professor _____ 's assigned courses will be covered by _____
(Name) (Name)

He/She is a Principal Investigator of a grant and appoints Professor _____ as a substitute for the
(Name)
period with approval of the sponsoring agency.]

I request your approval of this leave. (for sabbatical leave requests: Attached you will find a list of other faculty on approved leave during the period.)

Attachment(s) (written request for leave and list of other faculty on leave during the period.)

VI-10
ADDITIONAL COMPENSATION
 (Revised ~~04/11~~ 10/11)

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 *for research activities* are made at the 1/9th rate. *Additional Compensation payments for Summer Session teaching are made on a flat rate basis. The total additional compensation during the summer may not exceed the equivalent up to a maximum of 3/9ths of the faculty member's annual salary 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 (Intercampus one time payment form)	allowed	allowed up to \$1,500 per event to a total of 10% of the annual salary
Extramurally funded research (ACR off-quarter summer, REG academic year)	allowed	allowed only as release time
Fellowship or other University awards (ACM off-quarter summer, REG LWS academic year)	allowed	allowed only as release time research leave
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 2010 Additional compensation

Dates for 2011 Additional compensation

<u>Month</u>	<u>Number of Days</u>	<u>% time 19900</u>	<u>% time grants</u>	<u>Month</u>	<u>Number of Days</u>	<u>% time 19900</u>	<u>%time grants</u>
June 12-30	13	.5909	.6842	June 11-30	14	.6364	.7368
July 1-31	22	1.0000	1.1579	July 1-31	21	1.0000	1.1053
August 1-31	22	1.0000	1.1579	August 1-31	23	1.0000	1.2105
Sept 1-17	13	.5909	.6842	Sept 1-18	12	.5455	.6316

VI-14
EXTRAMURALLY FUNDED RESEARCH
(Revised ~~10/10~~ 10/11)

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.

A faculty member may be paid from a fellowship administered through UCSB. Payments during the academic year are considered leaves with pay (see Red Binder VI-7F).

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-2
Sabbatical Leave (APM 740)
(Revised ~~05/10~~ 10/11)

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

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

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

A faculty member is required to return to University service immediately following a sabbatical leave for a period of time at least equal to the period of the leave. Failure to return to regular service will create an obligation on the part of the faculty member to refund the entire salary received during the leave to the University. Transfer to another UC immediately following a sabbatical does not require repayment of salary. APM 740-16 to 740-19 discusses other restrictions and limitations of sabbatical leaves.

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

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

1. An updated bio-bibliography
 2. Copies of reports from any sabbatical leaves taken since the last advancement.
- B. The application must be initiated no later than three months prior to the begin date of the pay period of the proposed leave. The department will receive a copy of the approval letter sent to the faculty member as notification of approval of the leave. No later than 30 days prior to the pay period of the proposed leave, the information should be entered into the payroll system.
 - C. Within ninety calendar days following return from leave, the recipient of a sabbatical leave shall submit to the Associate Vice Chancellor for Academic Personnel a report of the results of the leave. Information to be included in this report is contained in APM 740-97 and includes:

1. Account of activities during the leave, including travel itineraries, institutions and locations visited, persons with whom there was extensive consultation or collaboration, and any formal lectures delivered.
2. Statement of progress made on the project as proposed in the application.
3. Explanation of any significant changes made in the project.
4. Appraisal of the relationship between the results anticipated in the leave project statement and those actually achieved.
5. Statement of future activity related to the project, including plans for completion of the project and publication of results.

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

VI-3
SICK LEAVE
(Revised ~~10/10~~ 10/11)

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
- **Postdoctoral Scholar (employee, fellow and paid direct)**
- Specialist series
- Project Scientist series
- Librarian series
- Associate and Assistant University Librarians
- Continuing Educator
- 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.

G. Postdoctoral Scholars (employee, fellow and paid direct) are entitled to sick leave in accord with the provisions of the collective bargaining agreement, Article 22.

VI-6
VACATION
(Revised ~~02/05~~ 10/11)

- A. See APM 730 for conditions governing accrual, use, and record-keeping and RB VI-8 for accrual codes.
- B. *Academic-year employees are expected to be in residence throughout the academic year and do not accrue vacation leave.*
- C. ~~Eleven month~~ *Fiscal-year* non-student academic appointees who have been appointed for six months or more accrue vacation credit at the rate of two working days a month for full-time service. There is no waiting period for use of accrued vacation. Graduate Student Researcher must be appointed for 12 consecutive months or more at 50% time or more to accrue vacation. Postdoctoral Scholars do not accrue vacation, but are ~~expected to take paid time off each academic year during the intersessions and recess periods between quarters~~ entitled to personal time off *in accord with the provisions of the collective bargaining agreement, Article 17.*
- D. *Fiscal-year* appointees must be employed at least 50% time for a period of at least six months in order to be eligible to accrue vacation credit. If the individual holds two appointments (staff or academic), each for at least six months, the percent of employment is combined to determine eligibility for vacation accrual. No accrual occurs in any month where the percent time worked drops below 50%.

VI-7
OTHER LEAVES
(Revised 05/10 10/11)

- A. An academic appointee may be granted a leave with or without pay to attend a professional meeting or for University business. If the leave is for seven calendar days or less, APM 752 applies and the Department Chair/person/Director has authority. If the leave is without pay, the leave must be entered into the payroll system.
- B. Leaves of 8 or more calendar days are covered by APM 758 and 759. Applications for such leave are made by written statement from the faculty member and endorsement by the Department Chair/Director. Leaves of more than 30 calendar days must be entered into the payroll system.
- C. Academic employees Faculty may be granted up to a one-year leave of absence without salary for professional development or personal reasons upon approval of the appropriate Dean or Vice Chancellor.
- D. Extension of a leave of absence beyond one year, whether with or without pay is not automatic and is granted only when there is a clear benefit to the campus. If an academic employee Faculty member accepts an academic or professional position elsewhere, the presumption is that additional leave will not be granted. Leaves that extend beyond one year require approval of the Associate Vice Chancellor for Academic Personnel.
- E. Lecturers in the SOE series are eligible for "Educational Leave". Educational Leave is granted for the purpose of allowing Lecturers in the SOE series to engage in intensive programs of study and/or professional development, thus to become more effective teachers and scholars and to enhance their services to the University. Leave credit accrual and usage will follow the policies for accrual and use of Sabbatical Leave credits (Red Binder VI-2) Leave credit will accrue at the rate of one credit per quarter of service at 50% time or more in a qualifying title (Professor or Lecturer SOE series appointments). Nine credits will be required to support one full quarter of leave. A return to University service, equal to the time period of the leave, will be required. Failure to return to service will create an obligation on the part of the lecturer to refund the entire salary received during the leave. The process to apply for a leave as well as reporting requirements will be the same as for ladder faculty sabbatical leaves (Red Binder VI-2)
- F. Special Research leaves may be granted to allow a faculty member to accept a fellowship from an external agency. Such fellowships normally require a full release from Professorial responsibilities. In situations where the funding agency pays the faculty member directly, the faculty member will be put on a leave without salary with a dos code of LNS in payroll. In situations where the funding is administered through UCSB, the faculty member will be put onto a Professional Researcher appointment (9/12 basis) at a percentage that reflects the percentage of full salary that will be covered by the fellowship with a dos code of LWS in payroll.
- If the faculty member is receiving a supplement to the leave in exchange for sabbatical leave credits, that portion of pay will be reflected on the Professorial appointment with a dos code of SLN in payroll. The unit providing the supplement will be responsible for covering benefit costs in cases where the fellowship does not provide funding for benefits. Faculty should be aware that not all fellowships include funding for benefits and should consult with the College prior to the period of the fellowship to determine the best options for their situation. The College providing the supplement may require a return to UCSB service, similar to the return to UC service required for sabbatical leaves.

IX-30
**POLICY AND PROCEDURES ON LAYOFF AND INVOLUNTARY REDUCTION
IN TIME FOR NON-SENATE ACADEMIC APPOINTEES**

(Revised ~~10/10~~ 10/11)

I. Related Policies

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

II. Background

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

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

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

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

B. Determination of Layoff and Involuntary Reduction in Time.

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

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

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

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

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

IV. Procedures

A. Upon determining the need for a layoff, or an involuntary reduction in time, and the order in which it is to be accomplished, the Chair will submit a recommendation (Exhibit A), to the Associate Vice Chancellor for Academic Personnel via the appropriate Dean or Director. The recommendation shall be submitted in duplicate using the form provided and shall include the following:

1. Name of appointee to be laid off or reduced in time; appointee's rank, step, and months of service.

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

Except for Continuing Education Specialists (APM 340-20-e), written notice of layoff or involuntary reduction in time must be given to an appointee covered by this policy at least thirty days in advance of the effective date. It is recommended that the appointee be given as much additional notice as possible. Appropriate pay in lieu of notice may be given.

F. Layoff Status.

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

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

Preference for re-employment shall be granted to:

- a. Appointees on layoff status;
- b. Appointees whose time has been involuntarily reduced; or

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

G. Reemployment

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

H. Appeals

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

EXHIBIT A

LAYOFF AND INVOLUNTARY REDUCTION IN TIME

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

Lack of work _____

Lack of funds _____

NAME _____

TITLE _____

STEP _____

MONTHS OF SERVICE _____

ADMINISTRATIVE UNIT _____

FUNDING SOURCE(S) _____

Name

Account number

EFFECTIVE DATE OF ACTION _____

REASONS: _____

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

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

Name _____

Rank _____

Step _____

Months of Service _____

Reason not selected: _____

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

I certify that the above information is correct.

Principal Investigator

Date

Department Chair/Unit Head

Date

Dean/Director

Date

APPROVED:

Director,
Equal Opportunity

Date

Vice Chancellor for Academic Personnel

Date

ACADEMIC APPOINTEES NON-SENATE MEMBERS
(FACULTY)

Adjunct Series

Assistant Adjunct Professor
Associate Adjunct Professor
Adjunct Professor

Visiting Titles

Visiting Assistant Professor
Visiting Associate Professor
Visiting Professor

~~*Lecturer~~

~~*Lecturer, Potential Security of Employment (PSOE) less than 100%~~

~~*Supervisor of Teacher Education~~

ACADEMIC APPOINTEES NON-SENATE MEMBERS
(NON-FACULTY)

*Librarian Series

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

Miscellaneous Titles

~~Tutor~~
Academic Coordinator
Academic Administrator

UNEX Titles

~~Continuing Education Specialist~~
Continuing Educator
~~Program Coordinator~~

~~Postgraduate Research~~

~~Visiting Postgraduate Research~~

Professional Research Series

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

~~Project Scientist Series~~

~~Assistant Project Scientist~~
~~Associate Project Scientist~~
~~Project Scientist~~
~~Visiting Assistant Project Scientist~~
~~Visiting Associate Project Scientist~~
~~Visiting Project Scientist~~

Specialist Series

Junior Specialist
Assistant Specialist
Associate Specialist
Specialist

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