

## Summary of draft changes

I-6 Clarification of process for Career Equity Reviews

I-8, I-75, III-12, III-14, III-21 Elimination of off-scale maximums

I-31, I-34, I-75 Encourage faculty to submit information about contributions to diversity via a self- statement

I-41, I-42, I-43 Clarification that all four review areas are important for all career reviews

I-43 Strengthening of language for advancement within above scale; both requirements and allowable accelerated advancement

I-60 Changes in requirements for ad hoc committees

II-1 Guidelines for 9/9 vs. 9/12 payments

II-10 Clarify deadlines for continuing lecturer merit case submission

III-12, III-14 Clarify terms of appointment

IV-1, IV-3, IV-6, IV-8, IV-10 Clarification and updating of sections related to grad student employees.

VI-3 Clarify uses of sick leave for all academic employees

VI-4 Remove outdated process information

VI-6 Clarify accrual rules for vacation leave

VII-4 Updated requirements for non-citizen faculty hires

I-6  
**CAREER EQUITY REVIEW**  
(Revised 06/04)

A Career Equity Review (CER) may be initiated by or on behalf of tenured ladder faculty, and Lecturers SOE and Senior Lecturers SOE who are members of the Academic Senate. The CER is designed to examine cases in which normal personnel actions from the initial hiring onward may have resulted in an inappropriate rank and/or step; i.e., a faculty member's rank and/or step is not commensurate with the candidate's merit as assessed in the areas of research, teaching, professional activity, and service and in terms of the standards appropriate to the candidate's field, specialization, and cohort. A CER provides the opportunity to pay special attention to equity in relation to the standards in the discipline and to determine if current placement on the academic ladder is consistent with the application of those standards as they relate to rank and step. Recommendations and decisions will be based on the criteria used for normal promotion and merit reviews; but CERs will consider the entire career record of the individual, as well as recent activity.

A CER is not an alternative to the reconsideration procedures that apply to particular reviews (Red Binder I-10) nor is it an alternative to cases that should be brought before the Committee on Privilege and Tenure. A CER is not intended to address salary compression or other salary issues related to market, therefore, requests for adjustment of off-scale supplement will not be considered. Final decisions of CERs will not be subject to reconsideration or appeal. Reports generated during the CER process will be subject to the same policies and procedures as reports generated during the regular review process. A CER is considered a non-routine case and will be subject to review by CAP. CERs may be requested or conducted no more frequently than once every six years. Only faculty who have held an eligible title (see above) for at least four years can be considered for a CER.

**Procedure:**

A CER may be initiated by ~~an individual~~ *the candidate* through his or her department in parallel with an advancement case submitted for the faculty member through the regular advancement process, or through the appropriate Dean as a separate personnel action *during the same review cycle as an advancement case*. A CER may also be recommended to the Associate Vice Chancellor for Academic Personnel by any reviewing agency in the course of a personnel review. The reviewing agency will inform the Associate Vice Chancellor that it believes a CER should be considered and the Associate Vice Chancellor will report this recommendation to the faculty member. The candidate will then decide whether to initiate a CER and, if so, whether to initiate it in the department or with the Dean. Once initiated, it will follow one of the paths outlined below.

Possible justification for a CER may include, but is not limited to, the following: 1) the rank/step was inappropriately low at the time of initial hiring and in consequence the faculty member is currently placed too low on the ladder; 2) the outcome of one or more prior personnel actions has had a negative effect on subsequent personnel reviews, and in consequence the faculty member is currently placed too low on the ladder; 3) specific works and contributions have been overlooked or undervalued by the department or other reviewing agencies and in consequence the faculty member is currently placed too low on the ladder; 4) the faculty member's cumulative record warrants placement higher on the academic ladder.

**A CER may be initiated in the following ways:**

1. During consideration of a normal advancement, either the candidate or the department may initiate a CER by including a letter with the review file that identifies the area of the record that the candidate or department believes was not previously properly evaluated and/or the area of the record that indicates the candidate was not hired at the rank/step commensurate with the accomplishments at the time of hire. The department must consider, analyze, vote, and make a recommendation on both the CER and the proposed merit/promotion action. The candidate's letter will be included in the merit/promotion case that is sent forward by the department.
2. At the time a merit or promotion case is being prepared in the department, a CER may be requested by an individual faculty member through the Dean. The request in such cases will be treated as confidential. The Dean will inform the Associate Vice Chancellor for Academic Personnel of the request for review. The Dean will then form a confidential ad hoc committee to oversee the assembly of materials for a career review. The

Dean will also assure that all appropriate procedures concerning safeguards and access occur as outlined in the Red Binder. The committee will include members of the School or Division, and at the Dean's discretion may contain members of the Department and/or representatives from outside the School or from other UC campuses. The committee will provide an analysis equivalent in depth to that of a Department letter. The ad hoc committee's dossier, and their letter analyzing the case, will be forwarded to the department for consideration, analysis, and vote. The CER case will then be forwarded along with the merit or promotion case to the Dean and continue through the normal review process for a non-routine case.

3. During the course of a normal personnel review, a Dean, CAP or the Associate Vice Chancellor for Academic personnel may recommend a CER. A letter will be sent from the Associate Vice Chancellor to the faculty member informing the faculty member that a reviewing agency has recommended a CER as part of the advancement review. If the faculty member wishes to be considered for a CER, the review may be initiated via either of the two procedures listed above. Reviewing agencies are encouraged to review the files of every academic appointee for appropriate inclusion in the CER program coincident with the normal review cycle. Input from the department chair may be requested via the Associate Vice Chancellor for Academic Personnel if warranted.

Any CER that is initiated by a reviewing agency and that requires review for promotion, merit to Professor VI or to Professor Above Scale ~~will be sent back to the Department with instructions to~~ *must contain extramural letters. In the event that the original case does not contain extramural letters, the agency preparing the CER will be responsible for solicitation of such letters.* ~~supplement the case with extramural letters, departmental discussion and analysis, and a department vote on the recommended action. The case will then be submitted to the college at which point the Dean will provide additional analysis and recommendation.~~

Because the CER ~~initiated through the department~~ is processed in conjunction with a merit/promotion case, two decisions will be made at the conclusion of the review; one based on the request for CER and one based on activity during the current review cycle. If the CER decision leads to an adjustment of rank and step, the candidate's salary at the new rank and step will include the same off-scale supplement as the salary prior to the review. A final decision for an adjustment in rank and/or step will occur effective the next July 1. No retroactive action will be approved.

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

**I. General Policies**

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. A faculty member who has advanced beyond the off scale limit 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.

*A faculty member may receive no more than two within-step increases in the off-scale supplement. Additional off-scale increases may not be granted unless accompanied by advancement in rank or step.*

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.

**DOCUMENTS TO BE SUBMITTED BY THE CHAIR****ROUTINE MERITS**

(Revised 10/10)

**I. Departmental Letter**

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

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

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

See Red Binder I-35 for further information.

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

**III. Safeguard Statement.**

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

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

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

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

**V. Evaluation of the teaching record.**

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

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

**VI. Sabbatical leave reports.**

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

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

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

VIII. **Copies of publications.**

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

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

IX. ***Additional documents submitted by the candidate (optional).***

- Self statement of research*
- Self statement of contributions to diversity and equal opportunity*

***Self-assessment statement of other accomplishments and activity (optional).***

- If a self-assessment statement of activity and accomplishments other than teaching (V. above) was submitted, is it included in the case? Self-statements may address research, professional activity, service, or contributions to diversity and equal opportunity.*

**DOCUMENTS TO BE SUBMITTED BY THE CHAIR****NON-ROUTINE CASES**

(Revised 10/10)

**I. Departmental letter of recommendation**

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

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

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

See Red Binder I-35 for further information.

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

**III. Safeguard Statement.**

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

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

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

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

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

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

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

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

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

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

**VI. Evaluation of the teaching record.**

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

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

**VII. Sabbatical leave reports.**

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

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

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

**IX. Copies of publications.**

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

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

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

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

**XI. Additional documents submitted by the candidate (optional).**

- Self statement of research
- Self statement of contributions to diversity and equal opportunity

**Self-assessment statement of other accomplishments and activity (optional).**

- If a self-assessment statement of activity and accomplishments other than teaching (V. above) was submitted, is it included in the case? Self-statements may address research, professional activity, service, or contributions to diversity and equal opportunity.



**PROMOTION TO PROFESSOR**

(Revised 10/00)

Promotion to Professor requires an accomplished record of research that is judged to be excellent within the larger discipline or field. Superior intellectual attainment, as evidenced both in teaching and in research or other creative achievement, is an indispensable qualification for advancement to Professor. *Sustained excellence in the areas of University and public service as well as professional activity is expected for promotion to the Professor rank. This is a career review and therefore is based on a review of the individual's entire academic career.*

**MERIT TO PROFESSOR VI**

(Revised 01/09)

Advancement to Professor VI is based on evidence of sustained and continuing excellence in each of the following ~~three~~ categories: (1) scholarship or creative achievement, (2) University teaching, and (3) *University and public* service, *and* (4). ~~*Sustained excellence in the area of professional activity is also expected.*~~ In addition, great distinction, recognized nationally or internationally in scholarly or creative achievement or in teaching ~~*are is*~~ required for merit to Professor VI. This is a career review and therefore is based on a review of the individual's entire academic career.

**MERIT TO, OR WITHIN, PROFESSOR ABOVE SCALE**

(Revised 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 *University and public service* is highly meritorious, and (4) whose *professional activity is judged to be excellent. Sustained excellence in the area of professional activity is also expected.* 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 *sustained excellence in all four review areas as well as* new evidence of merit and distinction, ~~in addition to sustained excellence in all review areas,~~ and 7% is reserved for accomplishment that demonstrably exceeds in every review area the already high expectations for achievement at this level. Examples include exceptional research productivity or professional activity, significant recognition such as distinguished awards, prizes, endowed lectureships, or elections, or extraordinary university service. The normal interval between salary increases is four years, *but may be indefinite.* Accelerations at intervals of less than four years or of more than 7% ~~are discouraged~~ *will not be approved* except for the most superior cases, supported by compelling evidence and a reasoned argument why a 7% increase should be exceeded or an exception to the four-year interval should be made.

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

## I. General

Ad hoc review committees are required for the following reviews:

- 1) recommendation for termination
- 2) appointment or promotion to tenure or security of employment

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

## II. Make-up of Ad Hoc Review Committees

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

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

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

## III. Appointment of Ad Hoc Review Committees

Faculty members are nominated by the Committee on Academic Personnel to serve on ad hoc review committees.

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

The Department Chair should select faculty members who: (1) participated in the departmental review and voted on the case; (2) have familiarity with the research area of the candidate; and (3) will be in residence during the quarter the case is likely to be considered. Possible suggestions for ad hoc committee service may include faculty members who were centrally involved in the preparation and/or presentation of the candidate's case to the department. In all cases, the Department Chair should provide a slate of nominees who will be as objective as possible.

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

#### IV. Candidate Request Concerning Ad Hoc Membership

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

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

#### V. Department Representative

The designated departmental representative should decline to serve:

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

#### VI. Ad Hoc Committee Reports

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

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

#### VII. Sample Chair's Recommendation for Departmental Representative memo

To: Associate Vice Chancellor, Academic Personnel

From: Department Chair, Department

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

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

- 1)
- 2)
- 3)

## APPOINTMENT AND ADVANCEMENT

**A publication of the  
Committee on Academic Personnel  
prepared in consultation with the  
Associate Vice Chancellor for Academic Personnel  
(Revised 10/10)**

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

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

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

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

### REGULAR RANKS, STEPS, NORMAL PERIODS OF SERVICE

ASSISTANT PROFESSOR (8 year limit, non-tenured)		ASSOCIATE PROFESSOR (6 years normal, tenured)		PROFESSOR (indefinite, tenured)	
<u>Step</u>	<u>Normal period of service</u>	<u>Step</u>	<u>Normal period of service</u>	<u>Step</u>	<u>Normal period of service</u>
I	2 (not used at UCSB)				
II	2				
III	2				
IV	2				
V	2 (over-lapping step)	I	2		
VI	2 (not used at UCSB)	II	2		
		III	2		
		IV	3 (over-lapping step)	I	3
		V	3 (not used at UCSB)	II	3
				III	3
				IV	3
				V	3
				VI	3
				VII	3
				VIII	3
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Assistant Professor V and Associate Professor IV are **special steps**. Service at these steps may count as "**time-in-grade**" in the related steps of the next higher rank; e.g., after two years as Associate Professor IV and one year as Professor I, a candidate may be reviewed for a normal merit increase to Professor II, just as would be done after three years at Professor I. Normal advancement occupies six years at the Assistant Professor rank with eight as the maximum before either promotion or termination; six years at the Associate Professor rank; and an indefinite time in the Professorship.

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

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

#### Off-scale salary supplements

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

## II. MATERIALS REQUIRED FOR PERSONNEL ACTIONS

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

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

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

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

## III. THE REVIEW PROCESS

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

1. In the spring the Associate Vice Chancellor for Academic Personnel sends each department a list of faculty members eligible for normal advancement or promotion during the coming academic year.
2. The Department Chair notifies each faculty member of his/her eligibility for personnel review. The Chair should also review faculty not on the eligibility list for the possibility of accelerated merit or promotion.
3. The faculty member *either* requests a deferral of action for one year *or* prepares evidence for the review, with the assistance of a departmental personnel committee, or a case supervisor, or the Chair. Deadlines for submission of materials to departments should be set in line with College or Campus deadlines to allow timely processing of cases.
4. The candidate is given the opportunity to respond to the materials in the file.
5. The case is presented and discussed. This is followed by a vote of eligible faculty in accordance with Senate By-Law 55 or other departmental voting procedures approved by CAP.
6. The Chair writes a letter analyzing the case and summarizing the department's recommendation. This letter is available for inspection, amendment, or rebuttal by all eligible department members.



7. A candidate for advancement is given an oral summary or written copy of the departmental recommendation and completes the Safeguard Statement.
8. A separate letter from the Chair should not be submitted except on the rare occasions when evidence exists that could not be appropriately shared in the department letter.
9. The department letter, along with all publications, teaching evidence and other materials pertaining to this review (the “dossier”) is sent forward to the Dean.
10. In cases where the Dean does not have final authority, the dossier, including the Dean's letter, is sent to the Office of Academic Personnel, which forwards it to the Committee on Academic Personnel (CAP). CAP assigns the case to one or more members, usually from as similar a field as possible. (Note: cases are *never* assigned to a CAP member who belongs to the candidate's own department; in fact, CAP members are never present during discussion of cases from their own departments.)
11. In appointments and promotion to tenure, terminations, and advancements to Above Scale, and sometimes in promotion to Professor and advancement to Step VI , an ad hoc review committee is appointed by the Chancellor’s designee on nomination from CAP.
12. CAP considers the case after the ad hoc committee and the Dean have submitted their letters. If no ad hoc review is required, CAP proceeds once the Dean’s recommendation is received. A draft letter is written by the assigned member, distributed to the whole committee, read aloud, and fully discussed. A vote is taken in the rare cases when a consensus recommendation cannot be reached.
13. CAP's recommendation is forwarded to the Office of Academic Personnel for the final decision. If the Chancellor's (or designee's) *tentative decision* differs from CAP's and/or the Dean's recommendation, it is sent back to that agency for further comment. If the recommendations vary by \$2,000 or less, the Chancellor (or designee) will not be required to consult further.
14. The Chancellor's (or designee's) final decision is communicated to the department and the candidate. In certain cases a “Chancellor’s tentative decision” must precede the final decision. (See Red Binder I-39)

#### Details of the review process

1. Preparation of the Recommendation: Recommendations for personnel actions normally originate with the Department Chair. His/her letter should provide a comprehensive assessment of the candidate's qualifications together with detailed evidence to support this evaluation. The letter should also present a report of the Chair's consultation with the members of his/her department, including the vote tally and the basis for any dissent. The Chair should explain any apparent anomalies in the voting, e.g., a disproportionately small number of votes relative to departmental size, or excessive abstentions.

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

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

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

2. The Dean of the appropriate college or division makes his/her analysis and recommendation without reference to the recommendation of any reviewing agency other than the Department. He/she has access only to the departmental file, to previous departmental letters, and to previous Dean's recommendations. Of course, publicly

available scholarly materials are available to all reviewing agencies.

3. On behalf of the Chancellor, An *ad hoc* review committee (nominated by CAP and appointed by the Associate Vice Chancellor for Academic Personnel) is routinely formed for cases involving promotion to tenure, tenure appointment, terminal appointment, and advancement to Professor Above Scale; it is sometimes appointed for promotion to Professor, and for advancement to Professor VI. The membership of such a committee is known only to CAP and to the Chancellor, the Executive Vice Chancellor, the Associate Vice Chancellor for Academic Personnel, and the committee itself. In promotion and appointment cases, the ad hoc review committee includes a representative from the Department who is not present during the final discussion and vote; it normally includes faculty of the same or higher rank and step from related departments. The ad hoc review committee makes its recommendation independently of all other reviewing agencies; it has access only to the file as it comes from the department. It does not have access to the prior personnel review file, to the Dean's letter, or to a separate confidential letter from the Chair, if one was submitted.
4. The Committee on Academic Personnel has access to the analyses and recommendations of all the aforementioned agencies, and to previous recommendations concerning the candidate.
5. The Chancellor (or designee) reviews the recommendations of all reviewing agencies (department, Dean's office, ad hoc review committee, if any, and CAP). If there is an inclination to make a decision which differs from the CAP's or the Dean's recommendation, that agency is informed of the tentative decision and given the opportunity to respond. If the recommendations vary by \$2,000 or less, the Chancellor (or designee) will not be required to consult further. The final decision is communicated to the candidate and the department. (Note: some cases with salaries above a certain level require Regental approval.)

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

#### IV. SOME PROCEDURAL MATTERS

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

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

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

to arrive at preliminary assessments of the prospects of candidates for eventual promotion to tenure

rank as well as to identify appointees whose records of performance and achievement are below the level of excellence desired for continued membership in the faculty. (Section 220-83.)

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

The departmental letter concerning an appraisal should contain:

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

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

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

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

## V. CRITERIA

The criteria for promotion and advancement are:

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

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

1. Evidence of Research and Creative Work:

Research and creative accomplishments should be evaluated in the context of the faculty member's overall record of his/her intellectual growth, and of the contribution his/her work makes to his/her discipline. There should be evidence of continued and effective engagement in work of high quality and significance. No appointment or promotion to a tenured position will be made without evidence of intellectual distinction in research or creative activity. The research record should show growth, direction, and promise for the future.

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

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

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

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

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

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

## 2. Evidence of Teaching

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

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

In judging the effectiveness of a candidate's teaching, the following should be considered: the candidate's command of the subject; continuous growth in the subject field; ability to organize material and to present it with force and logic; capacity to awaken in students an awareness of the relationship of the subject to other fields of

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

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

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

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

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

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

Departments may include whatever questions they like, except that:

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

These evaluations must be part of the record and must be supplied for each course taught. To enable and strengthen comparative ratings on a campus wide basis, all student evaluations based on the two campus wide survey items must use a 1-5 scale with 1 high, with the following description explicitly stated on the form: (1) Excellent; (2) Very Good; (3) Good; (4) Fair; (5) Poor.<sup>1</sup>

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

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

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

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

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

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

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

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

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

### 3. Professional Competence and Activity:

Evidence includes such items as a) election to significant offices of professional or learned societies; b) appointment as editor or referee for professional journals or other publications; c) invitations to lecture, present papers, review books, perform or exhibit; d) awards, grants or honors bestowed by organizations or foundations; e) requests for consultative service. Opinions expressed by extramural evaluators, and reviews of the candidate's work or citations of his/her work by other researchers also constitute evidence of professional recognition. Departments should provide background and context for these accomplishments so reviewing agencies can evaluate their significance and importance.

### 4. University and Public Service:

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

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

## **VI. CONFIDENTIALITY AND PERSONNEL SAFEGUARDS**

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

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

## **VII. DEPARTMENTAL VOTING ON PERSONNEL CASES**

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

## **VIII. DIVERSITY SELF-ASSESSMENT**

*The UC system-wide policy regarding the appointment and advancement of its faculty (APM 210.1.d) states: "The University of California is committed to excellence and equity in every facet of its mission. Teaching, research, professional and public service contributions that promote diversity and equal opportunity are to be encouraged and given recognition in the evaluation of the candidate's qualifications." There is no presumption that all faculty will engage with this opportunity, nor are diversity statements required. If faculty undertake work relevant to APM 210.1.d, it is very helpful to internal and external reviewers to direct their attention to contributions in research/creative activity, teaching, professional activities and service that promote the University's commitment to serving the needs of our increasingly diverse state. As with the teaching self-assessment, the diversity statement is an opportunity to provide context and evidence of impact or effectiveness towards a fuller understanding of those contributions. Simple enumeration of material evident in the file (e.g., lists of activities or students supervised) does not by itself substantially advance the review process in this area. APM 210.1.d-related accomplishments may be cited by reviewing agencies as evidence in making the case for an acceleration, but only if these accomplishments rise above and beyond the normal expectations for the relevant area of review (e.g. research/creative activities, teaching, professional activities and service). Accuracy of the diversity statement is the responsibility of the faculty member, as is the case with the bio-bibliography information generally. The length of diversity statements will depend on the extent and complexity of contributions; an effort should be made to keep the statements succinct.*

II-1  
**UNIT 18, Non-Senate Faculty**  
**Lecturer and Supervisor of Teacher Education Series**  
(Revised 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 10<sup>th</sup> 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 *to be effective July 1*. At such time, a Continuing Appointment lecturer who is found to be excellent will receive a merit increase of at least two steps.
- E. *Appointments of a full academic year (three quarters) will be made on a 9/12 basis 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. Appointments for only one or two consecutive quarters are made on a 9/9 basis and 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 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.

**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 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 a twelve-month notice is given, pay in lieu of notice will be given in accordance with MOU Article 17.D.2. Any Layoff must comply with the provisions of Article 17.B

**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

**X. 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-10

### **Excellence Reviews and Subsequent Merit Reviews** (Revised 02/10)

The Excellence Review of Unit 18 members, as well as subsequent merit reviews, are intended to reward those individuals who meet specified needs and standards of excellence after a programmatic decision has been made to allocate resources for a Continuing Appointment. The retention of these candidates beyond the sixth year is a significant academic personnel action and the criteria and guidelines described herein must be carefully followed in the review process.

#### **I. Requirements for Excellence Reviews and Subsequent Merit Reviews**

The principal criterion for employment beyond the sixth year (18 quarters) as stated in the Memorandum of Understanding (MOU) in Article 7B, is that:

- A.1.(2) The individual under consideration is excellent following an academic review based upon the criteria specified in Section D.

Section D outlines the criteria and evidence to be considered when evaluating all unit members for a Continuing Appointment through an Excellence Review and for subsequent merit increases.

Section D states:

Evaluations of individual non-senate faculty in the unit for consideration of Continuing Appointments are to be made on the basis of demonstrated excellence in the field and in teaching, academic responsibility and other assigned duties that may include University co-curricular and community service. Reappointment to the senior rank requires, in addition, service of exceptional value to the University.

Instructional performance is to be measured by evaluation of evidence demonstrating such qualities as:

- (1) Command of the subject matter and continued growth in mastering new topics;
- (2) Ability to organize and present course materials;
- (3) Ability to awaken in students an awareness of the importance of the subject matter;
- (4) Ability to arouse curiosity in beginning students and to stimulate advanced students to do creative work; and
- (5) Achievements of students in their field.

#### **II. Evaluation of Performance**

It is the department's responsibility to evaluate Continuing Appointment lecturers every three years. Periodic assessment of lecturers, required for any reappointment prior to the sixth year of service, may take on added significance should the individual later be proposed for a Continuing Appointment. Each department, using standards of excellence appropriate to the particular discipline or subject area should develop systematic methods and criteria for discriminating among levels of performance.

The primary criterion for review will be the demonstrated excellence in teaching. Departments must provide well-documented evidence on which the appraisal of teaching competence has been based. If during the course of the review, or at any other time, the Department Chair determines that based on the evaluation criteria there has been a significant decline in the quality of performance by the Continuing Appointee, the procedures outlined in Article 30 of the MOU must be followed.

### III. Review Procedure

Excellence reviews and subsequent merit reviews will be conducted by the department in response to the annual call issued by the office of Academic Personnel. *Excellence reviews are* ~~The review case is~~ to be submitted to the Dean's office based on the schedule provided by Academic Personnel *so that* the campus review process ~~may be is to be~~ completed by the end of the eighteenth quarter of service. Subsequent merit reviews will occur every three years, with effective dates of July 1. *Cases are due to the Dean's office by March 31.* A Continuing Appointee may request a one year deferral of the review. Such requests must be made via the Department Chair, to the Dean. Future eligibility for review will be based on the new review date. The department should inform the candidate of internal department deadlines and the opportunity to submit materials to be included in the case. If the candidate does not turn in materials by the departmental due date, the department will conduct the review based on the materials available in the department as of the due date.

Excellence reviews and subsequent merit reviews will be conducted by a departmental committee composed of academic appointees with sufficient knowledge in the field of expertise of the individual being reviewed. In addition, the department will make reasonable efforts to ensure that a qualified non-senate faculty member be a member of each review committee. All such service will be voluntary. If the review is conducted by an ad hoc committee rather than a standing departmental committee, the individual under review will be consulted concerning the non-senate faculty representation. If it is not practical to form a review committee within a department, the committee will be formed at the college level following established procedures.

### IV. Documentation of Performance

It is recognized that there is no single standardized form of evaluation that is appropriate for all disciplines or for all courses within any single discipline, and that the most effective assessment of teaching and field supervision will often come from those familiar with the methods and approaches in teaching and field supervision in a given candidate's area of expertise. The following may be used as a basis for evaluation of excellence in teaching and field supervision:

- ESCI forms (required in all Lecturer cases)
- Field Supervision Evaluation Forms (required for all Supervisor of Teacher Education cases)

In addition, at least one of the following:

- Written comments from student evaluations
- Assessment by former students who have achieved notable professional success
- Assessment by other members of the department, or other appropriate faculty members
- Development of new and effective techniques of instruction/field supervision and materials
- Assessment from classroom visitations by colleagues and evaluators.

The individual under review may also provide:

- A self-statement of teaching
- A list of individuals from whom input may be solicited
- Letters of assessment from individuals with expertise in the field
- Other relevant materials to the evaluation file

It is the review committee's responsibility to submit analytical statements concerning the candidate's teaching effectiveness. These must be accompanied by evidence from the categories listed above. The review committee should make explicit the criteria it has used for assessing teaching performance.

## **V. Extramural Evaluations**

For the Excellence Review and for promotion to Senior Lecturer, in addition to the materials listed above, the department must submit five or more letters of recommendation. These letters may be solicited from former students and graduates who have achieved notable professional success since leaving the university, reviewers who can comment on the candidate's command of the subject and continuous growth in the subject field, or any appropriate referee with knowledge of the candidate's performance.

The candidate must be given the opportunity to suggest the names of persons who could be solicited for letters of evaluation, and also to indicate in writing the names of persons who, in the candidate's view, might not objectively evaluate the candidate's qualifications or performance for reasons set forth (which may include "personal reasons"). The candidate should know that a request to exclude certain potential evaluators will become part of the review file and that such requests are made regularly and should in no way jeopardize the candidate's case. Furthermore, such requests are generally honored unless they interfere with proper evaluation.

The sample solicitation letter and confidentiality statement must be used when soliciting letters of evaluation (Red Binder I-49 and I-50). Additional wording may be added describing the criteria that are relevant in a particular candidate's case. If wording is added or changed, Academic Personnel must be consulted regarding the revised language prior to sending the solicitation letter.

## **VI. Other Evidence**

Evidence of curricular development and renewal should be documented. Critical experimentation with materials and methods for teaching improvement, publication of articles, and presentation of papers at professional meetings or workshops may be submitted as evidence of commitment to excellence in teaching.

Evidence of competence in the field, command of the subject and continuous growth in the field may be demonstrated by the candidate's participation in the discipline itself. In certain fields such as art, music, dance, literature, writing, and drama, distinguished creation should receive consideration. In evaluating artistic creativity an attempt should be made to demonstrate the candidate's merit in the light of such criteria as originality, scope, richness, and depth of creative expression. It should be recognized that in music, drama and dance, distinguished performance in design, conducting, and directing is evidence of a candidate's creativity.

## **VII. Service**

It is expected that a lecturer will participate in activities that involve service to the department and the university. The department should make its expectations clear in this area and should take care to include this information in its review of a candidate. Such data might include records of attendance at departmental and other meetings; department assignments undertaken; accessibility to students (office hour commitments made and kept, independent studies programs directed, student activities sponsored and advised). Any such activities should be noted and evaluated; any such activities that are assigned as part of the candidate's workload should be subjected to a more rigorous evaluation. While every faculty member is expected to have some activity in this area, it should be recognized that the opportunities for such service will vary from lecturer to lecturer. Exceptionally meritorious service should be carefully documented in preparing the recommendation.

Review of individuals for promotion to the Senior Lecturer rank must demonstrate service of exceptional value to the University. Among such activities are governance. Also included are activities that involve member's professional expertise in a context outside the University's environment. Activities in both these areas should be carefully documented.

### **VIII. Reviewing Agencies**

1. The departmental review committee prepares the letter of recommendation after appropriate review has taken place. The letter of recommendation should accurately describe all review committee views including those of dissenting members.  
The department's recommendation, with accompanying material, is sent to the office of the appropriate Dean.
2. The Dean of the appropriate college makes an analysis and recommendation based on the materials and recommendation submitted by the department. In addition to the departmental case, however, the Dean has access to departmental and Dean's recommendations from previous reviews. The Dean has authority on merit cases. For individuals appointed at the College level the Associate Vice Chancellor for Academic Personnel has authority for the merit review.
3. The Associate Vice Chancellor for Academic Personnel has authority for Excellence reviews, and may request review by the Committee on Academic Personnel when he or she determines that such a review is necessary for proper evaluation.
4. The final decision in all merit and Excellence reviews is based on the documentation presented in the departmental file, as well as the recommendations of the Dean and the Committee on Academic Personnel (in those cases where CAP is asked to review).
5. Requests for reconsideration of a final decision will be governed by Red Binder I-10.



III-12  
**PROFESSIONAL RESEARCH SERIES**  
(Revised 09/08)

**I. Definition**

The titles in this series are given only to those who engage in independent research equivalent to that required for the Professor series. Individuals whose duties are defined as making significant and creative contributions to a research project, or to providing technical assistance to research activity should not be appointed in this series. For use of the Visiting prefix with this series, see Red Binder III-23.

**II. Ranks and Steps**

- A. Assistant Research \_\_\_\_\_ II – V (Steps V is considered a “special step”)
- B. Associate Research \_\_\_\_\_ I – IV (Step IV is considered a “special step”)
- C. Research \_\_\_\_\_ I –IX

The normal time of service at each step within the Assistant and Associate rank is 2 years, except for service at the special steps of Assistant Researcher V and Associate Researcher IV (Red Binder I-4, II). Within the Researcher rank normal service at Steps I-IV is 3 years. Service at Step V and above may be for an indefinite time: however, normal service is 3 years at Steps V through VIII and 4 years at Step IX. Eligibility for normal advancement occurs after the normal time of service at each step. If not advanced in step at that time, the candidate will continue to be eligible each year until advancement in step occurs.

**III. Appointment and Advancement Criteria**

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

- A. Research qualifications and accomplishments equivalent to those for the Professor series, including demonstrated continuous and effective engagement in independent and creative activity of high quality and significance.
- B. Professional competence and activity equivalent to those for the Professor series.
- C. University and/or public service at the Associate Researcher and Researcher ranks.

**IV. Term of Appointment**

- A. Service as Assistant Researcher is limited to eight years of service. Six months or more of service within any fiscal year, either paid or without salary, as an Assistant Researcher or Visiting Assistant Researcher counts towards the eight year limit.
- B. Appointments or reappointments may be for up to two years **at a time** at the Assistant Researcher and Associate Researcher level and for up to three years **at a time** at the Researcher level if guaranteed funding is available.

**V. Compensation**

- A. Individuals appointed to this series are compensated on the salary scales established for the Professional Research series on a fiscal year (11 months) basis. The Economics/ Engineering Professional Research salary scale will be used when either:
  - 1. The unit is an Engineering unit (departments and research units reporting to the Dean of Engineering) or the Department of Economicsor:

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

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

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

## VI. Requests for Appointment, Reappointment, and Advancement

### Appointment

Appointment cases are to be prepared using the Temporary Academic Appointment Form Letter (Red Binder III-3) and the checklist of documents to be submitted by the Chair for appointments (Red Binder III-7). Particular attention should be paid to sections N & O, which require justification demonstrating the equivalence of the requested position to the same level faculty position, and an analytical evaluation of the candidate and his or her accomplishments.

### Reappointment

Reappointments are to be prepared using the Temporary Academic Appointment Form Letter (Red Binder III-3). The timing of the reappointment will be based on the original start date of the appointment and/or the availability of funding.

### Advancement: Merit and Promotion

Advancement cases are to be prepared using the Research Title Review Form (Red Binder III-4) and the checklists of documents to be submitted by the chair for research reviews (Red Binder III-9). Red Binder I-22, Departmental Checklist for Academic Advancement may also be used as a guideline for departmental review. All advancement actions are based on the individual's achievements. Normal advancement will occur after 2 years at step at the Assistant or Associate level and after 3 years at the Full Research level. Merit increases are based on the academic record since the time of last review while promotions are based on the career academic record. Any advancement requested prior to that time will be considered an acceleration and must be justified as such.

All merits and promotions will be effective July 1. Completed cases must be submitted to the Office of Research by **March 1**, preceding the effective date. Cases received after the due date will be returned to the Department and will not be processed. A missed deadline may not be used as justification for retroactivity in a future review.

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

Appointees in the Research series must undergo a performance review at least once every five years, including an evaluation of the researcher's record in all review areas. This review may not be deferred. If the candidate does not turn in materials by the departmental due date, the department will conduct the review based on the materials available in the department as of the due date.

In cases where the final decision is a lesser advancement than recommended by the department, a

reconsideration may be requested. Procedures outlined in Red Binder I-10 must be followed.

### **Chair/Director Letters of Recommendation**

The Chair/Director's letter of recommendation for appointment or advancement should include an evaluation of the candidate's record in all review areas (see III Appointment and Advancement criteria, above). The evaluation is expected to meet the standards set forth in APM 310 which prescribes that candidates for appointment or advancement in the Research series have research qualifications equivalent to those of the corresponding ladder faculty rank. Each unit should establish set procedures for evaluation of Research appointments and advancements and development of the letter of recommendation. While a full review completed by a departmental committee knowledgeable of the candidate's field is preferred, in cases where this is not appropriate, a review done solely by the Chair, Director or P.I. is acceptable. If a committee is not formed, an explanation should be provided in the letter of recommendation. Red Binder I-35 provides additional guidance on developing the letter of recommendation.

### **External Evaluation**

External letters of evaluation will be required in cases of: appointment as Associate Researcher, appointment as Researcher, promotion to Associate Researcher, promotion to Researcher, merit to Researcher, Step VI and merit to Researcher Above Scale. A minimum of 4 letters must be included at the Associate level, a minimum of 6 at the Full Researcher level. In addition to the foregoing, recommendations for promotion or advancement to Researcher, Step VI must include at least 6 extramural evaluations from references. At least half of the letters submitted with the case should come from references chosen by the Department or Program independent of the candidate. Letters from faculty or researchers at other UC campuses are essential for appointment/ advancement to Research VI, preferably from individuals already at the senior ranks. Solicitations of extramural evaluations should not merely ask for opinions regarding the suitability of the candidate for promotion, but should invite analytical evaluations of the candidate's research with respect to quality and significance. Reviewing agencies reserve the right to request letters be solicited in any advancement case if it is determined that more information is necessary to support the proposed action.

In all cases of solicitation of outside letters, the sample letter for solicitation of extramural letters (Red Binder I-49) is to be used.

For promotion or appointment to Associate Researcher, the following wording should be inserted as appropriate:

\_\_\_\_\_ is being considered for (an appointment/promotion to) Associate Researcher in the (department/unit). Appointment (or promotion) to Associate Researcher within the UC system requires a research record equivalent to that of an Associate Professor. Superior intellectual attainment in research is an indispensable qualification for appointment or promotion to Associate Researcher. [Sample wording for evaluation request: e.g., I would greatly appreciate your evaluation of \_\_\_\_\_'s work.]

For promotion or appointment to full Researcher, the following wording should be inserted as appropriate:

\_\_\_\_\_ is being considered for (an appointment/promotion to) Researcher in the (department/unit). Appointment (or promotion) to Researcher within the UC system requires a research record equivalent to that of a Professor. A candidate for this position is expected to have an accomplished record of research that is judged to be excellent by his or her peers within the larger discipline or field. [Sample wording for evaluation request: e.g., I would greatly appreciate your evaluation of \_\_\_\_\_'s work]

For a merit advancement to Researcher, Step VI or appointment at Step VI or above, the following wording should be inserted as appropriate:

\_\_\_\_\_ is being considered for advancement to Researcher [specify step] in the (dept/unit). In the UC system there are 9 steps within the rank of Researcher. The normal period of service is three years in each of the first five steps. Service at Research, Step V, may be of indefinite duration. Advancement to Step VI will be granted on evidence of highly distinguished

scholarship, highly meritorious service, and evidence of excellence in research, and in addition, great distinction recognized nationally or internationally, in research. [Sample wording for evaluation request: e.g., I would greatly appreciate your evaluation of \_\_\_\_\_'s work]

For appointment as, or merit advancement to Researcher Above Scale, the following wording should be inserted as appropriate:

\_\_\_\_\_ is being considered for (an appointment as/ advancement to) Researcher Above Scale in the Department of \_\_\_\_\_. In the University of California, there are nine steps within the rank of Researcher. Steps VI, VII, VIII, and IX are reserved for highly distinguished scholars. (Appointment/advancement) to an Above Scale salary is reserved for scholars of the highest distinction, whose work has been internationally recognized and acclaimed. [Sample wording for evaluation request: e.g., I would greatly appreciate your evaluation of \_\_\_\_\_'s work.]

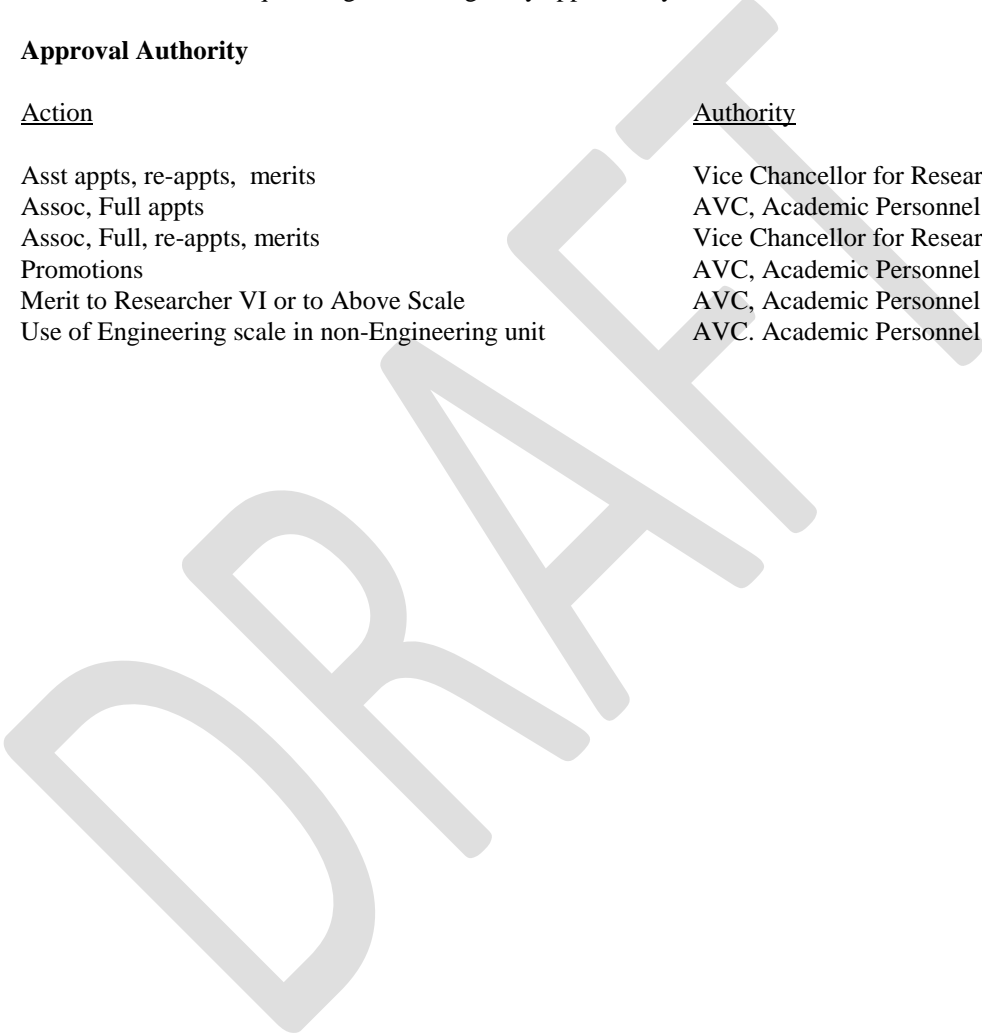
**VII. Approval Authority**

Action

Asst appts, re-appts, merits  
Assoc, Full appts  
Assoc, Full, re-appts, merits  
Promotions  
Merit to Researcher VI or to Above Scale  
Use of Engineering scale in non-Engineering unit

Authority

Vice Chancellor for Research  
AVC, Academic Personnel  
Vice Chancellor for Research  
AVC, Academic Personnel  
AVC, Academic Personnel  
AVC, Academic Personnel  
AVC. Academic Personnel



III-14  
**PROJECT SCIENTIST SERIES**  
(Revised 10/10)

**I. Definition**

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

**II. Ranks and Steps**

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

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

**III. Appointment and Advancement Criteria**

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

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

University and public service are encouraged but not required.

**IV. Term of Appointment**

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

*B. There are no limits on service at any level in this series.*

**V. Compensation**

- A. A. Individuals appointed to this series are compensated on the salary scales established for the Project Scientist series on a fiscal year (11 months) basis. The Economics/Project Scientist salary scale will be used when either:

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

2. The unit is multi or interdisciplinary and includes both engineering or economics

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

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

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

## **VI. Requests for Appointment and Advancement**

Appointment cases are to be prepared using the Temporary Academic Appointment Form Letter (Red Binder III-3). Particular attention should be paid to section N and O, which requires justification for the level of appointment and analytical evaluation of the candidate and his or her accomplishments.

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

### **Chair/Director Letters of Recommendation**

The Chair/Director's letter of recommendation for appointment or advancement should include an evaluation of the candidate's record in all review areas (see III Appointment and Advancement Criteria, above). Each unit should establish set procedures for evaluation of Project Scientist appointments and advancements and development of the letter of recommendation. While review done solely by the Director or PI is acceptable at the Assistant Project Scientist level, a fuller review, including input from other equal or higher ranking individuals in the unit is preferable for Associate Project Scientist and Project Scientist level actions. Red Binder I-35 provides additional guidance on developing the letter of recommendation.

### **External Evaluation**

External letters of evaluation are desirable in cases of: appointment as Associate Project Scientist, appointment as Project Scientist, promotion to Associate Project Scientist, and promotion to Project Scientist. A minimum of 4 letters at the Associate level, and 6 at the Full Project Scientist level should be included if letters are solicited. Due to the nature of Project Scientist positions, it is possible that in some cases solicitation of external letters is inappropriate, or internal letters of evaluation are more helpful. In these cases, the decision to either not solicit or to solicit from internal sources should be clearly discussed in the departmental letter. Reviewing agencies reserve the right to request that letters be solicited in any advancement case if it is determined that more information is necessary to support the proposed action. When letters are solicited, the sample letter for solicitation of extramural evaluators (Red Binder I-49) should be used, with the following wording inserted as appropriate.

Appointment (or Promotion) to Associate Project Scientist/Project Scientist requires evaluation in the areas of: 1) Demonstrated significant, original, and creative contributions to a research or creative program

or project, 2) Professional competence and activity.

**VII. Approval Authority**

Action

All actions

Authority

Vice Chancellor for Research

DRAFT

III-21  
**ADJUNCT PROFESSOR SERIES**  
(Revised 05/07)

**I. Definition**

The titles in this series may be assigned to those who are predominantly engaged in research and who participate in teaching, or to individuals who contribute primarily to teaching and have a limited responsibility for research or other creative work. Appointees also engage in University and public service consistent with their assignments. See APM 280 for System Wide policy on Adjunct Professors.

Appointments may be made on a paid basis or a without salary basis.

**II. Appointment Criteria**

A candidate for appointment or advancement in this series is judged by the same four criteria specified for the Professor series, except that evaluation of the candidate shall take into account the nature of the duties and responsibilities, and shall adjust accordingly the emphasis to be placed on each of the criteria. The four criteria are:

1. Teaching
2. Research
3. Professional competence and activity
4. University and public service

See APM 210-1 for an explanation of these criteria.

**III. Term of Appointment**

Appointment or reappointment at the Assistant level may be for a maximum term of two years. Appointments at 50% or greater are limited to a total of eight years of service at the Assistant Professor level. Appointments at less than 50% are not subject to the eight-year limit.

Appointments or reappointments may be for up to two years at the Associate Adjunct Professor level and for up to three years at the Adjunct Professor level. For paid appointments a guarantee of funding is required for the duration of the appointment. Reappointments for funding purposes only, involving no academic review, may be requested by memo from the Chair or Director. No departmental vote is required.

The following policies apply to all without salary Adjunct appointments

**IV. Restrictions and review process**

For non-salaried appointments the title will normally be accorded to a distinguished person whose main affiliation is with another institution or in private industry, but who has an ongoing identifiable research and teaching involvement with UCSB.

Appointment may be made at the Assistant Adjunct Professor, Associate Adjunct Professor, or Adjunct Professor level. Candidates who hold, or have held an academic appointment at another institution should be appointed at the equivalent level. Candidates who have a main affiliation in industry and have not held an academic appointment in the past should be appointed at a level appropriate to their standing in the field.

To request a without salary appointment the following documents must be submitted to the Dean's office:

- Up-to-date CV
- UCSB biography form
- Departmental recommendation letter that includes a summary of the candidate's qualifications,



justification for the level being proposed and the specific research and/or teaching that will take place.

To request a without salary reappointment the following documents must be submitted to the Dean's office:

- Up- to- date CV
- Departmental recommendation letter that includes the specific research and/or teaching that will take place as well as an evaluation of the performance during the current appointment period.

The following policies apply to all salaried Adjunct appointments

**V. Ranks and Steps**

Assistant Adjunct Professor II- V  
Associate Adjunct Professor I- IV  
Adjunct Professor I- IX

The normal time of service at each step within the Assistant and Associate rank is 2 years, except for service at the special steps of Assistant Adjunct Professor V and Associate Adjunct Professor IV (Red Binder I-4, II). Within the Adjunct Professor rank normal service at Steps I-IV is 3 years. Service at Step V and above may be for an indefinite time; however, normal service is 3 years at Steps V through VIII and 4 years at Step IX. Eligibility for normal advancement occurs after the normal time of service at each step. If not advanced in step at that time, the candidate will continue to be eligible each year until advancement in step occurs.

**VI. Compensation**

- A. Initial appointments and reappointments in this series are conditional on programmatic need and the availability of funds, and each individual shall be notified to this effect at the time of appointment or reappointment.
- B. Individuals appointed to this series are compensated from the salary scales established for the Professorial ranks.
- C. At least 50% of any appointment must be funded from other than 19900 sources.
- D. Appointees to this series who hold academic year (9/12 basis) appointments are eligible to receive additional compensation for summer research efforts at the 1/9th rate.
- E. Off-scale salaries are allowed within the same limits and policies as ladder faculty off-scale salaries. Off scale salaries for Assistant Adjunct Professors may be between \$100 above the designated step and \$100 below the equivalent step in the next rank. Off scale salaries for Associate Adjunct Professors may be between \$100 above the designated step and \$100 less than one step higher in the next rank. Off scale salaries for Adjunct 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 Adjunct Professors at Steps VI through IX, no off scale salary in excess of 10 percent above Step IX will be approved. (Red Binder I-8)

**VII. Restrictions**

- A. Individuals who are primarily researchers and who teach regularly at least one course a year should be appointed in the Adjunct series for their whole appointment. Professional Researchers who teach less than one course a year should be given a Lecturer appointment in conjunction with the Researcher appointment. For purposes of appointment "one course" is defined as a regularly scheduled class that meets at least three hours per week (e.g. a 599 class does not fulfill the requirement).

For appointments in which teaching is the main activity, it must be clearly demonstrated that a teaching title such as lecturer is not appropriate, before appointment to this series can be approved.

- B. An appointee to a title in this series shall have the title revoked whenever the appointee's participation in teaching ceases to conform to the criteria set forth in A above.
- C. No appointee shall be paid from 19900 funds for more than 50% of any appointment. To the extent that State funds are used to support any part of the salary, the corresponding fractional part of an FTE shall also be used for the appointment.
- D. Appointees are not members of the Academic Senate, do not acquire security of employment or tenure, and are not eligible for sabbatical leave.

### **VIII. Appointment and Advancement**

- A. Paid appointments at 50% time or more that exceed one year will be considered the equivalent of ladder rank faculty appointments. Procedures and policies concerning appointment and advancement within the ladder ranks will apply to these positions (Red Binder I). The checklists for appointment (Red Binder I-15) and for advancement (Red Binder I-31 and I-34) should be used when preparing cases. For individuals appointed at less than 50% the same checklists is to be used to prepare the case.
- B. All advancement actions are based on the individual's achievements. Normal advancement will occur after 2 years at step at the Assistant or Associate level and after 3 years at the Adjunct Professor level. Merit increases are based on the academic record since the time of last review while promotions are based on the career academic record. Any advancement requested prior to that time will be considered an acceleration and must be justified as such.
- C. All merits and promotions will be effective July 1. Completed cases must be submitted to the college by the deadlines established for ladder faculty cases. Cases received after the due date will be returned to the Department and will not be processed. A missed deadline may not be used as justification for retroactivity in a future review.

Deferral will be automatic if an Adjunct Professor does not submit material by the departmental due date and no case is forwarded by the department, with the exception of formal appraisals and mandatory reviews.

- D. A formal appraisal of an Assistant Adjunct Professor will take place during the fourth year of service. The procedures outlined in Red Binder I-38 will be used.

Appointees in the Adjunct series must undergo a performance review at least once every five years, including an evaluation of the record in all review areas. This review may not be deferred. If the candidate does not turn in materials by the departmental due date, the department will conduct the review based on the materials available in the department as of the due date.

- E. External letters of evaluation will be required in cases of: appointment as Associate Adjunct Professor, appointment as Adjunct Professor, promotion to Associate Adjunct Professor, promotion to Adjunct Professor, merit to Adjunct Professor, Step VI and merit to Adjunct Professor Above Scale. The policies related to solicitation of external evaluation for ladder faculty must be followed (Red Binder I-46 to I-50).

### **IX. Approval Authority**

#### Action

50% or more for more than one year:

Less than 50% or less than one year:

#### Authority

Same as ladder rank faculty  
(Red Binder I-1)

Assistant level: Appointments  
Reappointments, Merits

Dean

Associate, Full reappointments and merits

Dean

Associate, Full Appointments  
Promotions

Associate Vice Chancellor

DRAFT

IV-1  
**STUDENT ACADEMIC TITLES**  
**General Information**  
(Revised 09/08)

The following apply to all graduate student appointments made during the academic year:

Limitations on Service

The appointment or reappointment of a student in an academic title must be at half-time or less for the period of one year or less. Percent time limitations apply to all appointments or combined appointments. Exceptions are granted only as outlined in the Red Binder sections on specific titles.

The following apply to graduate students appointed to the following titles during the academic year: Reader *(also applies to undergraduate or non-student Readers)*, Teaching Assistant, Associate, Remedial Tutor:

Limitations on Service

The total length of service rendered in any one or any combination of the titles listed above may not exceed four years (i.e., 12 academic year quarters.) Exceptions may be requested for an additional two years (6 academic year quarters), but in no case for more than 18 quarters.

Associated Student Employee agreement

Appointees to the titles listed above are covered by the *Memorandum of Understanding between the University and the UAW. Associated Student Employee (ASE) contract*. The full contract is available at <http://www.acadpers.ucsb.edu/>.

Pay Schedule

The Fall quarter pay period for Teaching Assistants and Associates may consist of four months, that is, September 1 through December 31, allowing students to receive their first check on October 1. The monthly amount of pay for four months of fall quarter is adjusted accordingly so that the total quarterly payment remains the same. Winter and Spring quarters remain on a three-month schedule. The four-month pay period for Fall is optional. The appropriate payroll paperwork must be processed before mid September if the four-month Fall schedule is to be used. If paperwork cannot be processed before that time, the three-month schedule must be used and the student will receive their first paycheck on November 1.

Benefits

Graduate students with appointments in covered titles are eligible for leaves of absence from their employment as outlined in Article 17 of the contract. Requests for leave should be made in writing, addressed to the supervisor as soon as the need for the leave is known. Leaves are granted only with approval of the Departmental Chair.

Eligible Graduate students with appointments in covered titles may receive reimbursement of allowable child-care related expenses in accord with Article 4 of the contract. A child care reimbursement form and appropriate attachments must be submitted to the department. Forms and additional information are available on the University "At Your Service" web site at: [http://atyourservice.ucop.edu/forms\\_pubs/index.html](http://atyourservice.ucop.edu/forms_pubs/index.html).

IV-3  
ASSOCIATE IN \_\_\_\_\_  
(title code 1506)  
(Revised 10/11)

There is no APM section describing this title. *Appointments into this title are governed by the Memorandum of Understanding between the University and the UAW.* At UCSB, the application of this policy is outlined in the following:

**I. Definition**

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

**II. Appointment Criteria**

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

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

**III. Conditions of Employment**

- A. Normally an Associate will conduct the entire instruction of a course. An Associate may not give an upper division course except with the approval of the Undergraduate Council.
- B. Associates may not evaluate fellow graduate student appointees (i.e., Teaching Assistants). For courses in which Teaching Assistants are appointed, a specific faculty member must be named to be responsible for evaluation and mentorship of the Teaching Assistants.
- C. This appointment does not imply the responsibility of engaging in research.
- D. Doctoral students must be within the Departmental, Graduate Council approved number of years for both advancement to candidacy and degree completion as specified in Academic Senate Regulation 350A.

**IV. Personnel Actions**

- A. The start date for students employed in this title will be either September 1 or October 1 for fall quarter, January 1 for winter quarter, and April 1 for spring quarter. Payment of students will be at the 1/9th rate.
- B. Appointees shall be notified in writing of their appointment. The written notice of appointment shall ~~specify the beginning and ending dates of the appointment~~ *include all information required by Article 2 of the Memorandum of Understanding as well as appropriate supplemental documentation. Sample letters are available on the Academic Personnel web site at: <http://ap.ucsb.edu/employment/academic.student.employee.positions/>*
- C. Appointment packets should include the following:

Department Letter of Recommendation

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

Teaching Evaluations

Graduate transcript

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

## V. Compensation

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

B. Salaries are subject to range adjustment.

## VI. Approval Authority

Action

Authority

All Actions

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

## VII. Sample Chair's letter for Associate appointment

TO: Dean

VIA: Graduate Division

FROM: Chair

RE: Appointment of \_\_\_\_\_

E-mail address of departmental contact:

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

Quarter/Academic Year: \_\_\_\_\_

Percent time: \_\_\_\_\_

FTE: \_\_\_\_\_  
(%/3 x number of quarters)

Annual salary \_\_\_\_\_  
(Salary Scale #19)

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

## ASSIGNMENTS:

For each course, provide the following:

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

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

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

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

If yes:

Number of TAs\_\_\_\_\_

TA faculty mentor and evaluator (required):\_\_\_\_\_

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

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

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

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

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

**APPOINTMENT CRITERIA:**

Quarter first enrolled in UCSB graduate program:\_\_\_\_\_ Overall GPA:\_\_\_\_\_

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

Date Masters received: \_\_\_\_\_

Total quarters of combined service in TA or Associate titles on any UC Campus \_\_\_\_\_.  
# as TA:\_\_\_\_\_ # as Assoc:\_\_\_\_\_ # in F, W, SP:\_\_\_\_\_ # in Summer:\_\_\_\_\_

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

Approved by Graduate Division: (date)\_\_\_\_\_

Approved by CUAPP: (date)\_\_\_\_\_

Approved by Dean: (date)\_\_\_\_\_

IV- 6  
**TEACHING ASSISTANTS**  
(Revised 10/10)

The policies on this series are set forth in Academic Personnel Manual (APM) 410 *and the Memorandum of Understanding between the University and the UAW*. At UCSB, the application of this policy is outlined in the following:

**I. Definition**

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

**II. Appointment Criteria**

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

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

**III. Conditions of Employment**

- A. The teaching assistant is responsible for conducting a lecture, laboratory, or quiz section under the active tutelage and supervision of a regular member of the faculty to whom final responsibility for the course's entire instruction, including the performance of teaching assistants, has been assigned.
- B. A teaching assistant is not responsible for the instructional content of a course, for selection of student assignments, for planning of examinations, or for determining the term grade for students. The teaching assistant is not to be assigned responsibility for instructing the entire enrollment of a course or for providing the entire instruction of a group of students enrolled in a course.
- C. *Occasionally an experienced teaching assistant maybe assigned other or additional duties such as coordinating other TAs, developing pedagogical content (e.g., for labs or discussion sections), ensuring consistent grading across multiple TAs, or responding to individual student requests for DSP or other accommodations. These duties may be attached to a specific course or to a group of related courses. Individuals performing these duties may be given the working title of "lead TA"*
- D. *Employment is limited to a maximum of 50% time, either in teaching assistant positions alone, or in combination with any other appointment at the University. Department chairs may approve exceptions up to 75% time. Employment beyond 75% must be approved by the Dean of the Graduate Division.*
- E. *Master's students must be within the four year time limit set for the master's degree as stated in Academic Senate Regulation 300A .*
- F. *Doctoral students must be within the Departmental, Graduate Council approved number of years for both advancement to candidacy and degree completion as specified in Academic Senate Regulation 350A.*

**IV. Terms of Employment**

- A. Appointment as a Teaching Assistant is for one academic year or less, and is self-terminating. The employee must be informed of the following: *"This appointment is contingent on the appointee being a registered graduate student in good standing for the duration of the appointment"*.



- B. *Appointees shall be notified in writing of their appointment. The written notice of appointment shall include all information required by Article 2 of the MOU as well as appropriate supplemental documentation. Sample letters are available on the Academic Personnel web site at: <http://ap.ucsb.edu/employment/academic.student.employee.positions/>*
- B. *Appointment to the title of teaching assistant is limited to a maximum of 50% time either in the teaching assistant position alone, or in combination with any other appointment through the University. Department chairs may approve exceptions up to 75% time. Employment beyond 75% must be approved by the Dean of the Graduate Division.*
- C. *Master's students must be within the four year time limit set for the master's degree as stated in Academic Senate Regulation 300A.*
- D. *Doctoral students must be within the Departmental, Graduate Council approved number of years for both advancement to candidacy and degree completion as specified in Academic Senate Regulation 350A.*
- E. *The start date for students employed in this title will be either September 1 or October 1 for fall quarter, January 1 for winter quarter, and April 1 for spring quarter. Payment will be at the 1/9th rate.*

**V. Process of appointment, Supervision and review**

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

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

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

**VI. Compensation**

- A. *Individuals appointed to this title are compensated at the published Teaching Assistant rate on the Academic Salary Scales at the 1/9th rate.*
- B. *Salaries are subject to range adjustment.*
- C. *"Lead TA" duties are to compensated at the Teaching Assistant rate. The percentage of appointment in the TA title should be proportionate to the hours of work needed to perform all Teaching Assistant duties.*

**VII. Approval authority**

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

*Employment while on warning status, but not on probation*      *Department Chair*

All other exceptions

Prior approval from Dean, Graduate Division

IV-8  
**READER**  
(Revised 10/01)

The policies on the use of the Reader title are set forth in APM 420 *and the Memorandum of Understanding between the University and the UAW*. At UCSB, the application of this policy is outlined in the following:

**I. Definition**

A Reader will normally perform such duties as grading student papers and exams. A reader will not be given responsibilities normally assigned to a Teaching Assistant or Associate.

**II. Appointment Criteria**

Readers will usually be graduate students; however, qualified undergraduates or non-students may be employed to meet special needs. *Readers are subject to the provisions of the Memorandum of Understanding regardless of student status.* Readers will be paid on an hourly basis according to the published salary scales.

Graduate Student Readers must maintain at least a 3.0 GPA *and must have taken and received at least a "B" in the course (or equivalent) in which they are serving.*

Title code **2850 (Reader- Gship)** is to be used for graduate student appointments.

Title code **2851 (Reader- non-Ghip)** is to be used for undergraduate appointments.

Title code **2500 (Reader-non-student)** is to be used for non-student appointments.

**III. Conditions of Employment**

The total combined appointments of a Reader who is a registered student may not exceed 50% time.

**IV. Terms of Employment**

Reader appointments *of 100 hours or more in a quarter do not* count towards the limitation on Service (Red Binder IV-1) *when made on an hourly basis.*

A. Graduate Student Readers must work a minimum of 100 hours during a quarter in order to be eligible for the applicable benefits. *Departments should enter Reader appointments into the Graduate Student Fee Remission (GSFR) as soon as the student has actually worked 100 hours.*

B. *Appointees shall be notified in writing of their appointment. The written notice of appointment shall include all information required by Article 2 of the MOU as well as appropriate supplemental documentation. Sample letters are available on the Academic Personnel web site at: <http://ap.ucsb.edu/employment/academic.student.employee.positions/>*

**V. Approval authority**

Action

Authority

All Actions

Department Chair (post-audit of graduate student appointments by Graduate Division)

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

**I. Definition**

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

**II. Appointment Criteria**

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

- Step I        Pre-Masters degree, with no previous RA/GSR experience.
- Step II        One year's graduate work completed
- Step III       Post-Masters degree, or completion of at least two academic years of full-time graduate degree work at UCSB
- Step IV       Post-Masters degree plus completion of at least one year RA/GSR
- Step V        Advancement to doctoral candidacy
- Step VI-X     Advancement to doctoral candidacy plus at least two years RA/GSR experience

~~Step VII-X To be used only for compensation issues as outlined in President Atkinson's June 4, 2002 memo. Contact Graduate Division prior to use of these steps.~~

The appointee to this title must hold a BA/BS degree, must be a full-time registered graduate student, and must have a grade point average of 3.0 or above. *Employment is limited to a maximum of 50% time, either in teaching assistant positions alone, or in combination with any other appointment at the University. In addition, appointment to the title may not exceed half time, nor may such appointment in combination with other employment within the University exceed half time. (100% employment is permissible during off-quarter periods and during summer break.)*

*Appointment should be made using the following titles and title codes:*

Title code **3276 (Graduate Student Researcher- Partial Fee Remission):** ~~is to be used for~~ single ~~and combined~~ or multiple GSR appointments ~~that when combined total of~~ 25-34% in GSFR.

Title code **3284 (Graduate Student Researcher- Full Tuition and Full Fee Remission):** ~~is to be used for~~ single or multiple GSR ~~and combined~~ appointments ~~that when combined total of~~ 35% or higher in GSFR, ~~for both resident and nonresident students.~~

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

### III. Term of Appointment

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

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

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

### IV. Process for Appointment

*Departments are encouraged to provide the GSR with a letter from the Department Chair that includes, but is not limited to: employment title, begin and end dates, rate of pay, percentage time of appointment, and self-termination language. A copy of the letter should be placed in the employee's personnel file.*

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

### V. Approval Authority

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

VI-3  
SICK LEAVE  
(Revised 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
- 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. Sick leave is to be used in keeping with normally approved purposes related to personal or family member illness and medical care as defined in APM 710-20.

D. An Academic appointees who does not accrue sick leave may apply for medical leave as follows.

*If appointed for one year or more the appointee may apply for up to one quarter of leave with pay due to personal 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.*

*If appointed for less than one year, the appointee may apply for paid leave due to personal illness for approximately the period that would be accrued during the appointment in accord with the accrual rates in APM 710-18.*

E. Accrued sick leave may also be used to care for an ill child, parent, spouse, or domestic partner family member as defined in APM 710-20. 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 a family member as defined in APM 710-20..

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-4  
CHILDBEARING LEAVE (APM 760) AND PARENTAL LEAVE  
(Revised 07/05)

- A. An academic appointee who accrues sick leave shall be granted childbearing leave with full pay to the extent of her sick leave credit. Childbearing leave may be may also be covered as a Family and Medical Leave (APM 715). Family and Medical leave, if applicable, will normally run concurrently with approved childbearing leave.
- B. An academic appointee who does not accrue sick leave and who has served in her title or any faculty title for at least one year will receive full pay for up to 6 weeks during the period of time she is unable to assume her normal University obligations due to the birth of a child.
- C. An academic appointee who does not accrue sick leave and who has served in her title for less than one year will receive full pay for approximately the period that would be accrued during the appointment in accordance with the accrual rates in APM 710-18. If additional time is needed, leave without pay will be granted for the necessary period. However, members of the Academic Senate will be covered by B) above, regardless of length of service.
- D. The request for Childbearing Leave shall include a statement of the projected delivery date.
- E. Academic appointees are eligible for parental leave for purposes of carrying out childbearing and/or childrearing responsibilities. Whenever possible, parental leaves should be requested at least three months in advance. Parental leave without pay may be granted for up to one year to any academic appointee for the purpose of caring for a child. Normally, this unpaid leave, when combined with childbearing leave and/or Active Service Modified Duties, shall not exceed one year for each birth or adoption. A leave cannot be approved beyond the end date of the appointment. ~~and shall not extend beyond June 30 of the academic year in which the leave is granted (APM 759). If the leave period crosses academic years, a second departmental endorsement is required and separate distribution lines should be entered into the payroll system.~~

VI-6  
VACATION  
(Revised 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. Fiscal-year non-student academic appointees who ~~have been~~ *are* appointed for six months or more *at 50% time or more* accrue vacation credit. *Credit is accrued* at the rate of two working days a month for full-time service *and pro-rated for appointment at less than 100% time*. There is no waiting period for *accrual or* use of accrued vacation. *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%.*
- D. Graduate Student Researcher must be appointed for 12 consecutive months or more at 50% time or more to accrue vacation.
- E. Postdoctoral Scholars do not accrue vacation, but are 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%.~~



VII-4  
**PROCEDURES FOR RECRUITMENT OF  
LADDER RANK FACULTY AND OTHER PERMANENT ACADEMIC APPOINTMENTS**  
(Revised 02/11)

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

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

**B. Recruiting**

The recruiting department:

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

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

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

The recruiting department:

10. Submits the approved advertisement, along with a copy of Part 1 of the Recruitment Packet, to Academic Personnel for posting on its website. Places any additional approved advertisements for the position. Retains all copies of advertisements as they appear in publications and on-line, including the duration of advertisements.

**C. Processing Applications and interviewing**

The recruiting department:

1. Upon receipt of application, sends the applicant a letter acknowledging receipt of materials, including an invitation to complete the **Applicant Demographic Data Survey**. Please note: It is the responsibility of the department to ensure each applicant receives an invitation to complete the **Applicant Demographic Data Survey**—this is to ensure compliance with federal affirmative action reporting requirements.
2. Obtains the relevant information to complete evaluations on applicants.
3. Completes the **Applicant Evaluation Summary**.
4. When an applicant pool does not contain sufficiently qualified people to fill a vacancy, it may become necessary to extend or reopen a search. The department is responsible for repeating the requisite steps as necessary.
5. Consults with the Dean's office to schedule the Dean review of the applicants. College requirements may vary.
6. Completes the **Recruitment Packet- Part 2 – Request to Interview Applicants** form, including the **Applicant Evaluation Summary**, capturing all recruitment activities up to this point. A copy of the CV for each finalist is to be included.
7. Obtains the Department Chair's signature.
8. Submits the **Recruitment Packet**, including the **Applicant Evaluation Summary** to OEOSH/TC.

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

9. Reviews and analyzes the form in light of availability, annual placement goals and the **Applicant Demographic Summary Data**
10. Forwards the **Recruitment Packet** and the **Equal Opportunity Applicant Summary** to the Dean for approval.

The recruiting department:

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

#### **D. Equal Opportunity Hiring Proposal**

The recruiting department:

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

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

4. Reviews the recommended hire against the make up of the pool, availability figures and annual placement goals.
5. Returns the signed **Recruitment Packet** to the department.

The recruiting department:

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