

Summary of changes

Changes to additional compensation policies and procedures

VI-10, 14, 17

Technical changes

I-15, 17, 18, 22, 27, 30, 31, 34, 50

II-14

III-7, 9, 12, 14, 16, 17, 18, 23

IV-1, 2, 10

V-2

VI-9, 12, 13, 15, 19

VIII-4, 5, 9

Forms moved out of Red Binder to Forms section of Academic Personnel web site

I-28

III-3, 4, 19, 20

VII-9

I-1
**APPROVAL AUTHORITY FOR
 LADDER RANK FACULTY**
 (Revised 08/12 03/13)

Action

Authority

Appointments*

Assistant Professor II, III, including Acting titles	Dean
Assistant Professor IV and V	Associate Vice Chancellor
Associate Professor, Professor	Chancellor
Affiliated Appointments (0% or without salary)	Associate Vice Chancellor
Lecturer PSOE	Dean
Lecturer SOE, Sr. Lecturer SOE	Chancellor

Merits*

On-Schedule Merit Cases (including decelerated in time)	Dean
Merit to Professor VI, to and within Above Scale	Chancellor
Other Merits	Associate Vice Chancellor
Formal Appraisal	Associate Vice Chancellor
Asst Prof deferrals	Dean

Promotions*

Associate Professor, Professor	Chancellor
Lecturer SOE, Sr. Lecturer SOE	Chancellor
Deferral of tenure review	Dean

Leaves

Sabbatical - routine	Dean
Sabbatical - exceptions, any negative rec., no merit in past 5 years	Associate Vice Chancellor
Medical leaves within APM policy	Dean
All other routine leaves for up to one year	Dean
Active service/modified duties	Dean
Exceptions to policy	Associate Vice Chancellor
Leaves beyond one year	Associate Vice Chancellor

*In all appointment and retention cases, the academic administrator with approval authority has the latitude to approve a salary up to \$100 below the on scale salary two steps above the step recommended by the Committee on Academic Personnel. In such cases, the Committee on Academic Personnel will not require further consultation

I-15
DOCUMENTS TO BE SUBMITTED BY THE CHAIR
APPOINTMENTS
(Revised 10/10 03/13)

All appointment cases are submitted via the on-line case processing system.

I. Departmental letter of recommendation

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

- Are the start date, rank and step all clearly stated?
- Is the recommended salary on the published salary scale?
- Is the off-scale supplement correct (if applicable), per off-scale general policies (RB I-8)?
- Is the actual vote included (e.g. 10(yes)-0(no)-0(abstentions)-3(not voting))? Is there an indication of how many were eligible to vote?
- ~~Is the letter signed and dated?~~
- Is the letter an accurate, extensive, and **analytical** representation of the case?
- If the case contains extramural letters, are letter writers identified **only** by coded list, with no identifying statements?
- Are the candidate's qualifications, educational background, and area(s) of specialization all discussed?
- Are all four areas of review covered: teaching, research, professional activity and university and public service?

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

Extramural Letters

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

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

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

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

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

III. Complete CV and Academic biography form.

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

The follow items are submitted as hard-copy:

IV. Copies of publications

- Has a representative sampling of publications been submitted?

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

- Have all start-up issues been addressed?

VI. Recruitment Packet (original only)

- Has the Academic Recruitment Packet (Red Binder VII-9) been completed and signed?

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

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

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

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

NEW LADDER FACULTY COMMITMENTS(Revised ~~10/11~~ 03/13)

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

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

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

Housing

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

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

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

Relocation Faculty Recruitment allowance

The Faculty Recruitment Allowance (~~commonly~~ also known as a Relocation Allowance or Housing Allowance), is made available to help newly recruited faculty meet the costs associated with purchasing a home, usually the down payment or closing costs. It may also be used towards the initial deposit necessary for a rental. The maximum allowable allocation is based on the rate on Table 41 of the published Salary Scale at the time of hire. Incoming faculty should be advised of the following to avoid unrealistic expectations about how and when they can get the money.

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

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

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

I-18
SAMPLE START-UP COSTS MEMO
(Revised ~~02/10~~ 03/13)

TO: Associate Vice Chancellor
for Academic Personnel

VIA: Dean

FROM: _____, Chair
Department of _____

RE: Start-up package for _____

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

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

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

DEPARTMENTAL CHECKLIST FOR ACADEMIC ADVANCEMENT(Revised ~~10/10~~ 03/13)

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

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

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

I. Notifying The Candidate

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

- _____ 1) **Inform the candidate of his or her eligibility for advancement or appraisal.**
- _____ 2) **Inform the candidate of the UC criteria for advancement** as set forth in Section 210-1d and 220 of the APM. Include a full clarification of the concrete nature of materials relevant to those criteria, as commonly used in the candidate's department.
- _____ 3) **Inform the candidate of the UC review process** as set forth in APM 210-1d and 220. Include in your description both the role and character of higher reviewing agencies and the department's own customary modes of proceeding. Provide candidate with a copy of the Procedural Safeguard Statement.
- _____ 4) **Inform the candidate of UC policy regarding academic personnel records** as set forth in APM 160.
- _____ 5) **Inform the candidate of any other issues relevant to his/her personnel case.** Be sure to provide an opportunity for the candidate to ask questions regarding any aspect of the review procedures and of his/her case in particular.
- _____ 6) **Inform the candidate of the due date** for all pertinent information and material relevant to the criteria for advancement. Be sure to advise the candidate of the consequences of late submission of materials.
- _____ 7) **Inform the candidate if letters of evaluation are to be sought in his/her case and provide an opportunity for the candidate a) to suggest names of persons who might be solicited for such letters and b) to indicate in writing the names of persons who, for reasons set forth by the candidate (which may include personal reasons), might not be objective in their evaluation.** Also inform the candidate that the names of scholars writing outside letters who were originally suggested by the candidate, together with any requests not to select a potential evaluator, will be made part of the review file, and that a reasonable request for exclusion of outside evaluators will in no way jeopardize the candidate's case. The candidate should also understand that though such requests are made and honored regularly, there may be occasions when proper evaluation requires that they not be honored. Finally, the candidate should know that both the evaluator's academic stature and the extent, if any, of his/her association with the candidate (personal or professional) will affect how the evaluation is weighted.
- _____ 8) **In compiling the list of outside reviewers,** include a "reasonable number" (APM 220-80c) of the candidate's nominees, together with a "reasonable number" of letters from scholars who are not nominated by the candidate and who have not been closely associated with him/her either as colleagues, friends, or collaborators in research. At UCSB, a "reasonable number" is interpreted to mean "half of the letters". There should be adequate representation among the evaluators of University of California faculty members.

II. Developing The Recommendation

- _____ 9) **Solicit confidential extramural letters of evaluation** in cases of promotion to tenure, promotion to professor, merit from Professor V to VI, merit from Professor IX to Above Scale, advancement to Supervisor V and advancement to Lecturer SOE or Sr. Lecturer SOE.
- _____ 10) **Include with the case a sample copy of the letter used to solicit extramural letters** , a list of the materials sent to the letter writers, and a copy of all items that were sent to the referees (e.g., C.V., bibliography, reprints, manuscripts, and so forth) if they are not already included with the case of one-of-a-kind materials.
- _____ 11) **Assemble all pertinent information** (publications, teaching evaluations, solicited letters, etc.) in accordance with instructions set forth in the Red Binder sections related to specific actions. Be sure to include the total record of accomplishments appropriate to the review period.
- _____ 12) **Provide the candidate with an opportunity to inspect all non-confidential documents included in the review file.** Candidates should be told that they have access to non-confidential material.
- _____ 13) **Provide the candidate with the opportunity to request a redacted copy of all confidential letters and documents included in the file without revealing the identity of the sources.** One set of the redacted material must also be included in the file.
- _____ 14) **Provide the candidate with an opportunity to include a written statement responding to or commenting upon material in the file.** This should be done in sufficient time to allow the candidate's response to be taken into account in the departmental letter.
- _____ 15) **Inform the candidate that, if at any later point new information is added to the file, he/she will be informed and given an opportunity to comment.**
- _____ 16) If an ad hoc review committee will be employed, explain the role and selection of this committee and the candidate's three options (Red Binder I-60).
- _____ 17) **Inform the candidate of his/her right to request a redaction of the ad hoc committee's letter and a copy of other reviewing agencies' reports** from the office of Academic Personnel at the conclusion of the review process.
- _____ 18) **Consult colleagues in accordance with departmental practice and the rules of voting rights and eligibility established in By-Law 55.**
(<http://www.universityofcalifornia.edu/senate/manual/blpart1.html#b155>)
- _____ 19) **Write a letter of recommendation** in accordance with APM 220-80-e. Note in particular the requirement to present both supporting and opposing views. Be sure the letter is dated and signed.
- _____ 20) **Make the letter available for inspection by all departmental members eligible to vote on the case** or by a departmental committee or group established in accordance with APM 220-80-e. At this point any eligible faculty member who voted with the minority may include a "minority opinion" letter if they feel that the Departmental letter does not adequately address the opinion of the minority vote. A minority opinion letter must be submitted by the end of the inspection period to assure its consideration in the review process. All eligible faculty must be provided full access to this document. Any unresolved issues between the minority and majority opinions should be addressed in a Chair's confidential letter (Red Binder I-35)

III. Forwarding The Case

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

- _____ 21) **Inform the candidate orally or, if requested, in writing of the departmental recommendation, the departmental vote, and of the substance of the evaluations under each of the applicable review criteria.** Bear in mind that it is especially helpful for junior faculty to understand concerns regarding some particular aspect of their performance even if there was a strong vote of approval. **If a written document is provided to the candidate, a copy must also be included in the review file.**
- _____ 22) **Inform the candidate of his/her right to request a copy of the letter setting forth the departmental recommendation, including any minority opinions.** Identities of persons who were the sources of confidential documents are not to be disclosed and minority opinion letters should be provided in redacted format.
- _____ 23) **Inform the candidate of his/her right to make written comments, within 5 working days,** to the Chair or directly to the Dean regarding the departmental recommendation. A copy of these comments will be included in the file. If the comments are directed to the Chair, they will be made available for review by the voting faculty. Any unresolved issues between the candidate and the department evaluation should be addressed in a Chair's confidential letter (Red Binder I-35). If the comments are directed to the Dean, they will be included in the file at the time of the Dean's review and will be made available to other reviewing agencies but not to the department.
- _____ 24) **Check that the case, as packaged, is complete and properly formatted** (Red Binder I-31 for routine merits, Red Binder I-35 for non-routine advancements).
- _____ 25) **Have the candidate fill out and sign the Procedural Safeguard Statement on-line through the case processing system.** ~~Include the signed Safeguard Statement in the file and~~ Forward the case to the appropriate Dean's office.
- _____ 26) For promotions to tenure, a Chair's Recommendation for Department Representative memo suggesting up to three faculty members who are eligible to serve as departmental representative. The nominated faculty should: (1) have participated in the departmental review and voted on the case; (2) have familiarity with the research area of the candidate; and (3) be in residence during the quarter the case is likely to be considered. This memo is to be forwarded directly to the Associate Vice Chancellor of Academic Personnel and marked "Confidential." See Red Binder I-60 for sample memo format.

**INSTRUCTIONS FOR COMPLETION OF THE
BIO-BIBLIOGRAPHY**

(Revised ~~05/10~~ 03/13)

It is the responsibility of each faculty member to maintain an up to date bio-bibliography (bio-bib). The bio-bib should contain information ending at the campus cut-off date of September 15, or the date established by the candidate's department if an earlier date has been established. Information that falls beyond that date will not be considered in the review. *Departments may require that the bio-bib be updated and submitted on an annual basis to assist the chair in the annual review of all faculty (APM 220-80 b.)*

Bio-bibs may be maintained in any format (word document, excel document, etc) but must conform the format described below. A bio-bib template is available _____

Short Curriculum Vitae

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

Research

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

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

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

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

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

A line should be drawn separating all new items from ones which in one form or another were part of the review file underlying the last successful advancement and should be clearly identified with an explicit indication of their subsequent change in status using the following notation system:

* for items previously listed as Work In Press

** for items previously listed as Work Submitted

***for items previously listed as Work In Progress

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

If the previous action resulted in an increase in off-scale supplement only or a no-change decision, two sets of lines may be used to differentiate between what was included in the previous case vs. what took place during the review period. The departmental letter should explain the use of two sets of lines.

Teaching

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

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

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

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

Professional Activity

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

University and Public Service

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

Delete. Change to downloadable form only; remove I-28 reference from form

I-28

BIO-BIBLIOGRAPHY UPDATES

(Revised 02/10)

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

Sample Bio-Bibliography Form

(Page 1)

BIO-BIBLIOGRAPHY

University of California, Santa Barbara

Name

Date

Academic Title

Last update filed on

This update refers to the period

Curriculum Vitae

Education

Institution, degree, date of degree

Area of Specialization

Previous Academic or Professional Appointments

Year, title, institution

Professional Organizations

(Page 2)

PART I. RESEARCH

Cumulative List of Publications (or Creative Activities)

#	Year	Title and Authors	Publisher	Category

(Please draw line after items listed for prior review; indicate items previously listed as Work In Press, Work Submitted, or as Work In Progress.)

(Indicate priority of authorship when possible on jointly authored work.)

Work In Press

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

Work Submitted

#	Yr Subm.	Title and Authors	Publisher	Category
C-1 etc.				

Work In Progress (optional)

Title and Authors	Potential Publisher	Category

*Previously listed as Work In Press

**Previously listed as Work Submitted

*** Previously listed as Work In Progress

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

PART II. TEACHING

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

Catalog Courses

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

Undergraduate Projects Directed

Student	Project	Chair/Member	Year-Project Completed

Graduate Degree Committees

MA Committees

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

PhD Committees

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

Postdoctoral Scholars Supervised

Year

Name

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

PART III. PROFESSIONAL ACTIVITIES

Lectures Presented

Month/Yr	Title	Meeting/Place

Grants and Contracts

Years	Source	Title	Amt.	PI

Awards and Honors**Reviewing and Refereeing Activity**

Date	Activity and for Whom

Special Appointments (e.g., Editorships, Officer of Prof. Organization)

Years	Position	Type of Service

Other Professional Contributions (e.g., Consulting or other application of your professional expertise)**PART IV. SERVICE****University Service** (Including administrative posts held)

Years	Position	Type of Service

Public Service (including service to K-12 Education)

Years	Position	Type of Service

I-30
ROUTINE MERIT REVIEWS
(Revised 02/10 03/13)

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

Assistant Professor Series:

Advances from Step II to III, and III to IV

Associate Professor Series:

Advances from Step I to II and II to III

Professor Series:

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

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

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

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

DOCUMENTS TO BE SUBMITTED BY THE CHAIR

ROUTINE MERITS(Revised ~~08/12~~ 03/13)

All personnel review cases are submitted via the on-line case processing system.

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?
- Is the actual vote included (e.g. 10(yes)-0(no)-0(abstentions)-3(not voting))? Is there an indication of how many were eligible to vote?
- 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?
- Is all relevant information from the Departmental letter accurately entered on the case up-load screen?

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.**

The candidate must sign an on-line A signed safeguard must be forwarded with for each departmental recommendation. If it is difficult or impossible to obtain this document the required signature, 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? Has the candidate signed the safeguard statements? The case may not be forwarded until the candidate has signed.
- 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. **Self-assessment of other accomplishments and activity (optional).**

- If a self-assessment 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.

VII. **Sabbatical leave reports.**

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

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

- ~~Is a copy of the report for~~ *Has a report been completed* for each academic year within the current review period included?
- ~~Is the academic year clearly indicated?~~
- Is the form ~~signed by the candidate and~~ *approved* 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?
- If any publications are missing from the file, is a note included noting which are missing and explaining why?

DOCUMENTS TO BE SUBMITTED BY THE CHAIR**NON-ROUTINE CASES**(Revised ~~08/12~~ 03/13)

All personnel review cases are submitted via the on-line case processing system.

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?
- Is the actual vote included (e.g. 10(yes)-0(no)-0(abstentions)-3(not voting))?* *Is there an indication of how many were eligible to vote?*
- If there is a recommendation for an acceleration, are the reasons for the acceleration specifically stated?
- In the case of a negative **or mixed** 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?
- Is all relevant information from the Departmental letter accurately entered on the case up-load screen?*

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.

The candidate must sign an on-line A signed safeguard must be forwarded with for each departmental recommendation. If it is difficult or impossible to obtain this document the required signature, 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?~~ *Has the candidate signed the safeguard statements? The case may not be forwarded until the candidate has signed.*
- ~~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. Self-assessment of other accomplishments and activity (optional).

- If a self-assessment 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.

VIII. Sabbatical leave reports.

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

IX. Outside Activity Reports (APM 025 Appendix C)

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

X. 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.

WORDING FOR SOLICITATION LETTERS BY PROPOSED ACTION(Revised ~~02/10~~ 03/13)A. Appointment to Assistant Professor

_____ is being considered for an appointment as an Assistant Professor in the Department of _____. Appointment to Assistant Professor within the UC system is made in the expectation that the appointee will meet standards for a tenure appointment by the time a promotion decision is due. Recommendations for faculty appointments at this level must indicate clear evidence of potential excellence in both teaching and research.

B. Appointment or Promotion to Associate Professor

_____ is being considered for (an appointment as/ promotion to) Associate Professor in the Department of _____. Appointment (or promotion) to Associate Professor within the UC system includes tenure. The record of performance in (a) teaching, (b) research or other creative work, (c) professional activity, and (d) University and public service is carefully assessed. Reasonable flexibility is used in making personnel judgments, but flexibility does not entail the relaxation of high standards. Superior intellectual attainment, as evidenced both in teaching and in research or other creative achievement, is an indispensable qualification for appointment (promotion) to tenure positions.

C. Appointment to Professor I-V

_____ is being considered for an appointment as Professor in the Department of _____. The ranks of Associate Professor and Professor within the UC system are tenured. The record of performance in (a) teaching, (b) research or other creative work, (c) professional activity, and (d) University and public service is carefully assessed. A candidate for the rank of Professor is expected to have an accomplished record of research that is judged to be excellent by his or her peers within the larger discipline or field. Reasonable flexibility is used in making personnel judgments, but flexibility does not entail the relaxation of high standards. Superior intellectual attainment, as evidenced both in teaching and in research or other creative achievement, is an indispensable qualification for appointment to a Professor rank position.

D. Promotion to Professor

_____ is being considered for promotion to Professor in the Department of _____. Individuals under consideration for this rank have attained tenure at the Associate Professor rank. The record of performance in (a) teaching, (b) research or other creative work, (c) professional activity, and (d) University and public service is carefully assessed. A candidate for promotion to the rank of Professor is expected to have an accomplished record of research that is judged to be excellent by his or her peers within the larger discipline or field. Reasonable flexibility is used in making personnel judgments, but flexibility does not entail the relaxation of high standards. Superior intellectual attainment, as evidenced both in teaching and in research or other creative achievement, is an indispensable qualification for promotion to a Professor rank position.

E. Appointment at Professor VI- IX

_____ is being considered for an appointment as Professor [specify step] in the Department of _____. In the University of California, there are nine steps within the rank of Professor. The normal period of service is three years in each of the first five steps. Service at Professor, Step V, may be of indefinite duration. Appointment to Step VI, or higher, calls for evidence of highly distinguished scholarship, highly meritorious service, and evidence of excellent University teaching. In addition, great distinction, recognized nationally or internationally, in scholarly or creative achievement or in teaching is required for appointment at this step

F. Merit to Professor VI

_____ is being considered for advancement to Professor [specify step] in the Department of _____. In the University of California, there are nine steps within the rank of Professor. The normal period of service is three years in each of the first five steps. Service at Professor, Step V, may be of indefinite duration. Advancement to Step VI, or higher, involves an evaluation of the candidate's entire career and calls for evidence of sustained and continuing excellence in each of the following three categories: (1) scholarship or creative achievement, (2) University teaching, and (3) *University and public* service *and (4) professional activity*. In addition, great distinction, recognized nationally or internationally, in scholarly or creative achievement or in teaching is required for advancement to this step.

G. Appointment or Merit to Professor Above Scale

_____ is being considered for (an appointment as/ advancement to) Professor Above Scale in the Department of _____. In the University of California, there are nine steps within the rank of Professor (steps I-IX). Steps VI, VII, VIII, and IX are reserved for highly distinguished scholars. There is one further rank beyond Step IX; Above Scale. Above Scale is the highest rank attainable by a faculty member in the University of California system. (Appointment/advancement) to an Above Scale salary is reserved for the most highly distinguished faculty (1) whose work of sustained and continued excellence has attained national and international recognition, (2) whose teaching performance is excellent, ~~and~~ (3) whose *University and public* service is highly meritorious *and (4) whose professional activity is judged to be excellent*.

H. Sample Thank You Letter for Unsolicited Comments

Use the sample letter, modifying as follows:

[Opening remarks: e.g., Thank you for sending us your letter of recommendation regarding _____ who is currently under consideration for an appointment in our department. I would like to inform you that

[Confidentiality paragraph]

I would appreciate if you would inform me whether, in light of our policies, we may proceed with the use of your letter in the personnel file or if you wish it to be destroyed. If you do not respond by _____ the materials will be maintained in our files.

I. Sample Letter for Restricted Materials (Non-UC Placement Files)

Use the sample letter, modifying as follows:

We have received your letter of evaluation regarding _____ who is currently under consideration for an appointment in our department. This letter was received as part of a placement file from _____ which states that this material (not be made part of the individual personnel file/be returned to you after we have completed our use of it/be destroyed after we have completed our use of it/etc.) I am writing to inform you that we are unable to accept and use the material you sent with the constraint on its use that you have stated, and to explain why we are unable to do so.

Under University of California policy, evaluatory material about an individual who is (appointed to an academic position/being considered for promotion) becomes part of the individual's permanent personnel record. (In addition, we are required under applicable legal standards to retain in our files for at least two years documentary material that we have considered on all applicants for a position that has been filled.)

[Confidentiality paragraph here]

I would appreciate if you would inform me whether, in light of our policies, we may proceed to use the material from the placement file, or whether you wish us to destroy the materials without using them in the file. If you do not respond by _____ the materials will be maintained in our files.

J. Appointment to Lecturer PSOE

_____ is being considered for an appointment as a Lecturer with Potential Security of Employment in the Department of _____. Appointment to Lecturer with Potential Security of Employment within the UC System requires clear evidence of potential excellence in teaching and promise of future growth. Research and creative activity, although not required for Lecturer with Potential Security of Employment positions, is also reviewed when available

K. Appointment or promotion to Lecturer SOE

_____ is being considered for (an appointment as/ promotion to) Lecturer with Security of Employment in the Department of _____. Appointment (or promotion) to Lecturer with Security of Employment within the UC System requires clear evidence of teaching ability of exceptional quality, and promise of future growth. Research and creative activity, although not required for Lecturer with Security of Employment positions, is also reviewed when available.

L. Appointment or promotion to Sr. Lecturer SOE

_____ is being considered for (an appointment as/ promotion to) Sr. Lecturer with Security of Employment in the Department of _____. Appointment/promotion to Senior Lecturer with Security of Employment within the UC System requires teaching ability of exceptional quality and evidence demonstrated, in terms appropriate to this type of appointment, that the candidate has reached the level of professional achievement required of a professor. Research and creative activity, although not required for Senior Lecturer with Security of Employment positions, is also reviewed when available.

M. Continuing Lecturer Excellence review

_____ is being considered for review to be appointed as Lecturer, Continuing Appointment in the Department of _____. Appointment beyond six years as a Lecturer within the UC system includes the right to a Continuing Appointment so long as the University determines that the instructional need exists and that the instructional performance of the lecturer is excellent. The record of performance in teaching is carefully assessed and the standard of excellence is an indispensable qualification for appointment beyond six years.

N. Continuing Lecturer promotion to Sr. Lecturer

_____ is being considered for a promotion to Senior Lecturer, Continuing Appointment in the Department of _____. Appointment beyond six years as a Lecturer within the UC system includes the right to a Continuing Appointment so long as the University determines that the instructional need exists and that the instructional performance of the lecturer is excellent. The record of performance in teaching is carefully assessed and the standard of excellence is an indispensable qualification for appointment beyond six years. _____ completed a review for Lecturer, Continuing Appointment in ____ and is now being considered for promotion to the rank of Senior Lecturer, Continuing Appointment. Along with continued excellence in the area of teaching, promotion to the Senior rank requires service of exceptional value to the university. Service activities may include departmental or campus governance or activities that involve the candidate's professional expertise in a context outside the University's environment.

O. To Letter Writers from a Prior Review for Amendment or New Letter

Last year you were kind enough to provide an evaluation of Professor _____'s work in consideration of advancement to _____. We appreciate your time and attention in preparing that letter. For institutional reasons, [we did not pursue the case at that time] or [further consideration of this proposed action is currently taking place]. Your earlier evaluation is now part of the official record (copy enclosed). I write to inform you that you may, if you wish, at this time add further comments or an update to be included in the record. We certainly encourage you to do so. We are enclosing Professor _____'s current vita and publications to assist in your update.

**DOCUMENTS TO BE SUBMITTED BY THE DEPARTMENT
EXCELLENCE REVIEWS AND SUBSEQUENT MERIT REVIEWS**

(Revised 10/10 03/13)

All personnel review cases are submitted via the on-line case processing system

I. Departmental review committee letter of recommendation

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

- Are the effective date and recommended salary clearly stated?
- Is the letter an accurate, extensive, and **analytical** representation of the case?
- Is the actual vote included (e.g. 10(yes)-0(no)-0(abstentions)-3(not voting))? Is there an indication of how many were eligible to vote?*
- If the case contains extramural letters, are letter writers identified **only** by coded list, with no identifying statements?
- Are all areas of review covered: ability in teaching, competence in the field, academic responsibility and other assigned duties?
- If there is a recommendation for an acceleration, are the reasons for the acceleration specifically stated?
- Is all relevant information from the Departmental letter accurately entered on the case up-load screen?*

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

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

III. Complete CV

- Is the CV up to date?

IV. Safeguard Statement.

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

- Has the candidate signed the safeguard statements? The case may not be forwarded until the candidate has signed.*
- If there are no confidential documents (e.g. external letters, minority opinion letter), box **6.D.** should be checked.
- Are copies of everything the candidate has provided, or been provided, included with the case?

V. Evaluation of the teaching record.

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

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

VI. Other Materials submitted by the candidate

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

III-12
PROFESSIONAL RESEARCH SERIES
(Revised 08/12 03/13)

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 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. (Red Binder I-8)

VI. Requests for Appointment, Reappointment, and Advancement

Appointment

Appointment cases are to be submitted via the on-line case processing system prepared using the Temporary Academic Appointment Form Letter (Red Binder III-3) and using 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 submitted via the on-line case processing system prepared using the Research Title Review Form (Red Binder III-4) and using 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

III-14
PROJECT SCIENTIST SERIES
(Revised ~~08/12~~ 03/13)

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. (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 four letters at the Associate level, and six 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

III-16
SPECIALIST SERIES
(Revised 05/10 03/13)

I. Definition

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

II. Ranks and Steps

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

III. Appointment Criteria

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

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

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

IV. Term of Appointment

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

V. Compensation

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

V. Advancement

Appointment cases are to be prepared using the *Temporary Academic Appointment Form Letter* and the Research appointment checklist (Red Binder III-7). Particular attention should be paid to sections *N* and *O*, which require *justification for the level of the 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. ~~and the availability of funding.~~ Normal

advancement will occur after one year at step at the Junior level, two years at step at the Assistant and Associate level and after three years the Full Specialist level. Merits are based on the academic record since the time of last review while promotions are based on the career academic record. Any advancement requested prior to that time will be considered an acceleration and must be justified as such.

Chair/Director Letters of Recommendation

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

External Evaluation

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

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

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

VI. Approval Authority

Action

Authority

All actions

Vice Chancellor for Research

III-17
POSTDOCTORAL SCHOLARS
(Revised ~~10/11~~ 03/13)

I. Definition

Postdoctoral Scholar appointments are intended to provide a full-time training program of advanced academic preparation and research training under the mentorship of a faculty member (defined as ladder faculty or professional researcher). System-wide policies regarding Postdoctoral Scholars may be found in APM 390 and the Memorandum of Understanding (MOU) for the Postdoctoral Scholar unit.

II. Appointment Criteria

Appointment to the title requires a doctorate or its equivalent. Postdoctoral Scholars may be appointed into the following titles:

- A. Postdoctoral Scholar- Employee (3252)
Used when payment for the appointment will be made via the University payroll system. Positive time appointment in PPS.
- B. Postdoctoral Scholar- Fellow (3253)
Used when the Scholar has been awarded a fellowship or traineeship that will be paid through a University account. The appointment in PPS may be with salary or without salary (funds paid as a stipend) depending on the fund source.
- C. Postdoctoral Scholar- Paid Direct (3254)
Used when the Scholar is paid a fellowship or traineeship directly by the granting agency. Appointed without salary in PPS.

The "Postdoctoral Scholar Classification" flowchart on the Graduate Division web site at <http://www.graddiv.ucsb.edu/scholars/staff-resources.aspx> may be helpful in determining if the candidate is appropriately appointed as a Postdoctoral Scholar, and if so, which of the Postdoctoral Scholar titles to use.

III. Appointment Process

Appointments and reappointments require submission of the completed and signed Postdoctoral Scholar Appointment Form (~~Red Binder III-19~~)

In addition, the following documents must be submitted:

Initial Appointments

- 1. Attachment A: Recruitment, Search and Hiring information
- 2. UCSB Biography form
- 3. An up to date curriculum vitae

Reappointments

- 1. Annual evaluation form

The complete packet should be submitted to the Graduate Division at least a month prior to the start date of the appointment.

Upon notification of approval from the Graduate Division of appointment or reappointment, the Department must provide the Postdoctoral Scholar with an offer letter using the template found at <http://www.graddiv.ucsb.edu/scholars/staff-resources.aspx> along with appropriate attachments.

The Postdoctoral Scholar must submit their written acceptance on or before the first day of employment. Upon receipt of the acceptance, the Department may enter the Postdoctoral Scholar into PPS.

IV. Term of Appointment

- A. Appointment must be made at 100% time. In special situations, exceptions may be granted by the Dean of the Graduate Division. Please note that if a Postdoctoral Scholar has an H-1B visa, an amendment to the H-1B must be filed reflecting the appointment percentage.
- B. Initial Appointments must be made for one year at a time. Reappointments will normally be for one year, but may be for less than one year under the following circumstances:
 - 1. Funding is available for less than an additional full year.
 - 2. The project will last less than an additional full year.
 - 3. Visa limitations
 - 4. At the request of the Postdoctoral Scholar, to “bridge” for a short period prior to other employment

The total duration, including postdoctoral service at other institutions, may not exceed five years.

V. Compensation

- A. All Postdoctoral Scholars must be paid at or higher than the minimum for their experience level, as indicated on the posted salary scale (Salary Scale 23.)** If an extramural granting agency will provide less than the minimum salary for the experience level, the faculty mentor must arrange additional funding prior to the beginning date of the appointment in order to provide the minimum salary.

** Note that employees who employed prior to August 12, 2010 will be phased into new experience based scales in accord with the MOU.

- B. Postdoctoral Scholar- Fellows or Postdoctoral Scholar-Paid Directs may have their salary supplemented through the use of the Postdoctoral Scholar-Employee title.
- C. Movement to the next experience level pay rate must occur no later than the anniversary date of the original appointment. Postdoctoral Scholars who are already above the new experience rate must receive at least a 2% salary increase on the anniversary date of the original appointment. When the anniversary date occurs mid-appointment, the Postdoctoral Scholar Mid-appointment Salary Increase form (Red Binder III 20) is to be completed and submitted the Graduate Division for approval of the increase.
- D. Mid-year salary increases are allowed but do not negate the mandatory increase on the anniversary date.
- E. Salaries above the maximum of the salary scale require approval of the Graduate Dean.

VI. Leaves

Sick leave and personal time off are both recorded in full day increments. Approved absences of less than one full day do not require the use of personal time off or sick leave. Leave usages is to be tracked outside of the PPS system by the Department.

- A. Postdoctoral Scholars are eligible for 12 days of sick leave per twelve-month appointment period. All 12 days of leave are available for use effective the first day of the appointment. Any balance remaining at the end of an appointment period is to be carried forward to any subsequent Postdoctoral appointment or other University appointment that provides sick leave. A Postdoctoral Scholar who is reemployed after a separation with a break of less than six months will have sick leave reinstated in accord with article 22 of the contract.
- B. Postdoctoral Scholars are eligible for 24 days of personal time off per year. All 24 days of leave are available for use effective the first day of the appointment. Balances remaining at the end of an appointment do not carry forward to subsequent appointments. Time off for Postdoctoral Scholar-Fellow and Postdoctoral Scholar-Paid Direct appointees may be paid or unpaid, depending on the provisions of the funding agency agreement.

Postdoctoral Scholars are also eligible for unpaid leaves of absence as outlined in Article 13 of the MOU. Leaves of absence, other than use of personal time off or sick leave, require prior approval from the Dean of the Graduate Division.

VII. Reviews and evaluations

- A. Mentors must, within a reasonable time after the beginning of each appointment communicate to the Postdoctoral Scholar the mentor's research and progress expectations for the period of the appointment. The Postdoctoral Scholar may request that the expectations be provided in writing.
- B. Mentors shall conduct an annual written review of each Postdoctoral Scholar. A sample evaluation form is available at: <http://www.graddiv.ucsb.edu/scholars/staff-resources.aspx>. The evaluation form must be submitted with any request for reappointment, with a copy of the evaluation provided to the Postdoctoral Scholar upon request and a copy kept in the department personnel file. In addition, mentors and Postdoctoral Scholars must periodically engage in informal oral progress assessments.
- C. A Postdoctoral Scholar may elect to develop an Individual Development Plan (IDP) that identifies the Postdoctoral Scholar's research goals as well as professional development and career objects. The Postdoctoral Scholar's mentor should, upon request from the Postdoctoral Scholar, engage in the process of reviewing and discussing the IDP with the Postdoctoral Scholar.

VI. Layoff

Layoff may occur as a result of the loss of appropriate funding for the position prior to the stated end date of the appointment. A Postdoctoral Scholar will be given 30 calendar days notice of layoff. Pay in lieu of notice may be given. The Postdoctoral Scholar may request a written summary concerning unavailability of funds.

VII. Discipline and Dismissal

Discipline or dismissal may take place when, in the University's judgment, the Postdoctoral Scholar's performance or conduct merits such action. Dismissal is termination of the appointment, prior to the appointment end date based on conduct or performance such that continued employment is not justified. Discipline may take one of the following forms:

- A. Written warning informing the Postdoctoral Scholar of the nature of the problem, requirements for continuation of the appointment, and possible consequences if the problems are unresolved.
- B. Suspension from the training program, without pay, for a stated period of time. Unless otherwise stated, such suspension will include loss of other privileges such as parking, access to University property and library privileges.
- C. Dismissal from the Postdoctoral Scholar position.
Mentors and Departmental staff are strongly encouraged to contact Academic Personnel or Labor Relations prior to initiating any disciplinary action.

VIII. Approval Authority

Action
All actions

Authority
Dean, Graduate Division

POSTDOCTORAL SCHOLARS APPOINTMENT FORM

(Revised 06/11)

Date: _____

Departmental Contact:

Name: _____
Department: _____
Extension: _____
E-mail address: _____
Mail code: _____

For Graduate Division Use Only:

Received:

EC:

I. TYPE OF ACTION

[] Initial appointment

Attach:

UCSB Biography Form
Updated CV
Summary A

[] Reappointment

Attach:

Evaluation Form

[] Modification

Effective Dates: _____ to _____

Reason:

[] Salary

[] Change in Duties

[] Home Department Change

[] Other _____

II. ALL APPOINTMENTS

A. Appointee information

Postdoctoral Scholar name: _____

E-mail: _____

Department/Research Unit: _____ (primary)

Other: _____

Anticipated work location (building/room number): _____

Name of faculty/researcher mentor: _____

Appointment begin date: _____

Appointment end date: _____

Date PhD (or equivalent) conferred (m/y): _____

PhD received from [] Domestic or [] Foreign institution (Domestic includes Puerto Rico and the U.S. territories)

Number of prior months service as a Postdoctoral Scholar: _____

Brief description of anticipated research project:

[Empty box for research project description]

B. Salary information

Total salary must be at or above the approved UC salary scale experience rates for Postdoctoral Scholars: Table 24 with the exception Postdoctoral Scholars hired prior to June 1, 2011 for whom transition guidelines apply.

Annual salary/fellowship: external sources*: \$ _____

Annual salary/fellowship: university sources: \$ _____

Total salary/fellowship: all sources: \$ _____

* External Funding source(s): _____ (for example: DOD, HHS, NIH, NSF, DOA, NASA, DOE, Other Federal source, Institutional, state/local government, U.S. source, Non-U.S. source)

C. Appointment type:

- Title Code 3252: Postdoctoral Scholar-Employee. Payment made via the University payroll system.
- Title Code 3253: Postdoctoral Scholar-Fellow. Payment made through a University fellowship account, according to the requirements of the fellowship, appointment in PPS may be with salary or without salary (funds paid as a stipend) depending on the fund source.
 - ___ 100% Fellow
 - ___ Fellow plus supplement as Employee
- Title Code 3254. Postdoctoral Scholar-Paid Direct: Payment made directly by the granting agency to the postdoc; appoint without salary in PPS.
 - ___ 100% Paid-Direct
 - ___ Paid-Direct plus supplement as Employee

D. Check boxes to verify that the following apply to this appointment:

For any unchecked boxes in section "D" additional justification must be provided in Section II.

For Appointments and reappointments:

- The individual has been awarded a doctoral degree or foreign equivalent within the past five years.
- The primary purpose for the hire is to provide an advanced academic and research training opportunity to the individual under the direction of a faculty mentor.
- The appointment is for 100% time.
- The appointment is for one year or longer.

For Reappointments only:

- The appointment is for less than one year due to:
 - Visa end date of _____
 - Funding end date of _____
 - Project end date of _____
 - Postdoctoral Scholar has requested bridge appointment through _____

III. EXCEPTIONS:

Check all that apply to this appointment and provide justification for each below.

- Initial appointment for less than one year
- More than five years have elapsed since the Ph.D. was granted (*exceptions granted through year six only*)
- The appointment is for less than 100% time.
- Salary is over the maximum of the scale.

Justification for each exception:

PI Name

Signature

Date

Chair/Director Name

Signature

Date

Dean of Graduate Division

Signature

Date

**Attachment A: Recruitment, Search and Hiring Process Information
Required for all initial, new hires**

Include a completed, original copy of this form in the hiring packet sent to the Graduate Division. A copy of this form must also be sent to the Office of Equal Opportunity (OEO), Phelps Hall, room 3217 (A), MC 2060.

Postdoctoral Scholar name: _____
 Department/Research Unit: _____
 Name of faculty/researcher mentor: _____

In order to provide the University, and federal and state funding agencies with accurate recruitment records, please complete the following:

Was an open search conducted?
 Yes or No

If no, how was this candidate selected:

- Area of specialty
- Former collaborations
- other, please explain:

If yes, please fill out the following:

Advertisement:

List publications, list-serves or other recruitment sources that were used:

Indicate which of the above-mentioned recruitment sources are addressed particularly to women and underrepresented populations:

Applicants:

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

Names of Finalists	Gender			Ethnicity					
	Male	Female	Unknown	White	African American	Asian	American Indian	Hispanic	Unknown
A.									
B.									
C.									
D.									
E.									
F.									

If a minority or a woman was included among the finalists and was not selected, please explain why not:

Delete- to downloadable forms only

III-20

**POSTDOCTORAL SCHOLARS
MID APPOINTMENT SALARY INCREASE**

(10/11)

Date: _____

Departmental Contact:

Name: _____

Department: _____

Extension: _____

E-mail address: _____

Mail code: _____

For Graduate Division Use Only:

Received:

EC:

A. Appointee information

Postdoctoral Scholar name: _____

UCSB ID: _____

Department/Research Unit: _____ (primary) Other: _____

Name of faculty/researcher mentor: _____

Current appointment begin date: _____

Current appointment end date: _____

Anniversary Date: _____

Number of prior months service as a Postdoctoral Scholar: _____

B. Salary information

Type of Increase:

Annual anniversary date experience level increase

Additional mid-year increase

Total salary must be at or above the approved UC salary scale experience rates for Postdoctoral Scholars: Table 23 with the exception of Postdoctoral Scholars hired prior to June 1, 2011 for whom transition guidelines apply.

Current:

Annual salary/fellowship: external sources*: \$ _____

Annual salary/fellowship: university sources: \$ _____

Total salary/fellowship: all sources: \$ _____

* External Funding source: _____ (for example: DOD, HHS, NIH, NSF, DOA, NASA, DOE, Other Federal source, Institutional, state/local government, U.S. source, Non-U.S. source)

Proposed:

Effective Date of increase: _____

Annual salary/fellowship: external sources*: \$ _____

Annual salary/fellowship: university sources: \$ _____

Total salary/fellowship: all sources: \$ _____

* External Funding source: _____ (for example: DOD, HHS, NIH, NSF, DOA, NASA, DOE, Other Federal source, Institutional, state/local government, U.S. source, Non-U.S. source)

C. Appointment type:

- Title Code 3252: Postdoctoral Scholar-Employee. Payment made via the University payroll system.
- Title Code 3253: Postdoctoral Scholar-Fellow. Payment made through a University fellowship account, according to the requirements of the fellowship, appointment in PPS may be with salary or without salary (funds paid as a stipend) depending on the fund source.
 - ___ 100% Fellow
 - ___ Fellow plus supplement as Employee
- Title Code 3254. Postdoctoral Scholar-Paid Direct: Payment made directly by the granting agency to the postdoc; appoint without salary in PPS.
 - ___ 100% Paid-Direct
 - ___ Paid-Direct plus supplement as Employee

PI Name

Signature

Date

Chair/Director Name

Signature

Date

III-23
VISITING RESEARCH APPOINTMENTS
(Revised 04/08 03/13)

I. Definition

The Visiting prefix is used to designate one who:

1. Is appointed temporarily to perform the duties of the title to which the prefix is attached; and
2. Either has held, is on leave from, or is retired from an academic or research position at another educational institution; or whose research, creative activities or professional achievement makes a visiting appointment appropriate.

See APM 230 for System Wide policy on Visiting titles.

II. Appointment Criteria

The Visiting prefix may be used with titles in the Professional Research series or the Project Scientist series. When the title with the Visiting prefix is assigned to an individual on leave or retired from another institution, the title will usually be the same as the individual's title at the home educational institution.

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

III. Term of Appointment

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

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

IV. Compensation

Appointments may be made on a paid or without salary basis. For paid appointments the salary for a visiting position is negotiated. While the salary does not have to be on-scale on the corresponding regular series scale, the salary may not be below the minimum rate for the rank. For example, a Visiting Researcher may not be paid below the Researcher Step I rate. Because these salaries are negotiated on an individual basis, they are not subject to range adjustments. For travel expense reimbursement, see APM 230-20h.

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

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

Visiting appointments may also be made without salary. See VIII below for procedures relative to without salary research appointments

V. Appointment process

Requests for salaried appointment in the Visiting Researcher series or Visiting Project Scientist series should be prepared using the Temporary Academic Appointment Form Letter (Red Binder III-3). A UCSB Biography form and a CV must also be submitted.

Requests for without salary appointments may be made using the Without Salary Visiting Research Form letter (VIII, below).

VI. Restrictions

Neither tenure nor security of employment is acquired, although eligible service as a Visiting Assistant Researcher will count towards the University's eight-year limit (APM 133).

VII. Approval Authority

Action

Authority

All actions

Vice Chancellor for Research

VIII. With out Salary Visiting Research Form Letter

For research appointments that are without salary and do not require a payroll appointment be processed (Red Binder VI-21), submit this letter along with a signed Patent Acknowledgment to the Vice Chancellor for Research.

This letter will **provide sufficient justification for Workers Compensation claims and will** establish eligibility for library, parking and UCSBnetID based privileges. The Departmental Directory Editor should be given a copy of the letter in order to facilitate the UCSBnetID process.

Date

TO: Vice Chancellor for Research

FROM: Department Chair/Director

RE: Without Salary Academic Research Visitor

Name of visitor: _____

Phone: _____ e-mail: _____

Dates of visit: _____ (one year maximum)

Working title, if applicable: _____

Department/ORU: _____

Reason for visit: _____

Space to be provided: _____

Sponsoring Faculty member: _____

Phone: _____ e-mail: _____

As appropriate, continue with:

_____ may be reimbursed for travel and living expenses consistent with University regulations but will not receive any salary from UCSB.

The department also plans to pay for his/her parking permit while he/she is on campus.

Delete, move to downloadable forms only

III-3

TEMPORARY ACADEMIC RESEARCH APPOINTMENT
FORM LETTER

(Revised 06/11 1/13)

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

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

Date

To: ~~(Appropriate)~~ Vice Chancellor *for Research*

From:

RE: ___ New appointment** ___ Reappointment ___ Modification

****New appointments for the Research series are to be processed via the on-line case processing system**

I. ALL APPOINTMENTS

- A. Name of proposed appointee:
B. Title:
C. Step: ___ Regular salary scale ___ Engineering Scale
D. Annual Salary:
E. Source of funding:
F. Percent of time:
G. Begin date:
H. End date:
I. Space assignment:
J. Search information (check one):
___ Academic Recruitment Packet
___ Packet attached
___ Packet submitted with prior year appointment/reappointment
___ Exempt from search due to: _____
___ Exceptions to open recruitment: (Attached memo with OEOSH/TC recommendation)
K. Description of duties:
L. Exceptions to policy requested
___ Near relative
___ Other (explain):

II. INITIAL APPOINTMENTS:

- M. Education and UCSB Employment History
___ Not currently registered as a UCSB graduate student (including on leave or with an open degree objective)
Highest degree earned:
Date:
Institution:
(if Ph.D. needed for appointment level and not earned, complete section L)
Currently employed at UCSB?
___ No
___ Yes. Current payroll title: _____
End date of current appointment: _____
Current department: _____
Reason for change of title: _____
N. Justification for level of appointment:

- O. Analytical evaluation of the academic, professional qualifications and experience, especially past research record and professional accomplishments:

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

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

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

To downloadable form only

III-4

RESEARCH TITLE REVIEW FORM

(Revised 10/10)

Research series reviews are to be processed via the on-line case processing system
For all other series, attach this form as cover sheet to departmental letter.

Contact information: name, extension, e-mail

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

Name _____

Department _____

PRESENT STATUS

PROPOSED STATUS

Rank and Step _____

Rank and Step _____

Current Salary _____

Proposed Salary _____

O/S Supplement: _____

O/S Supplement: _____

Years at Rank _____ Years at Step _____

Effective Date _____

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

CHECK ONE:

Check as appropriate:

_____ On time merit (advancement within rank)

_____ Promotion

_____ Acceleration (including addition of off-scale)

_____ Mandatory Review

_____ To Researcher VI

_____ To or within Researcher Above Scale

_____ Special Step (Asst. V; Assoc. IV)

_____ Deceleration

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

_____ Signed Safeguard Statement

_____ Completed Bio-bibliographical Update

_____ Extramural Letters if proposed action is a promotion:

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

_____ Sample Solicitation Letter;

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

_____ Copies of publications as required

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

_____ Other: List _____

III-7
DOCUMENTS TO BE SUBMITTED BY THE CHAIR
RESEARCH APPOINTMENTS
(Revised ~~10/10~~ 03/13)

Research series appointments are to be submitted via the on-line case processing system.
For all other series, submit the original of each document, ~~along with one set of publications.~~

- I. **Temporary Academic Appointment Form letter (RB III-3)**
Accurate and analytical letters of recommendation from the department are essential in the review process. See Red Binder I-35 for further detail of content of departmental recommendations
- Are the dates of the appointment, rank and step all clearly stated?
 - Is the recommended salary on the published salary scale?
 - If a request is being made to use the Engineering scale in a non-Engineering unit (RB III-12 V, A, 2) is appropriate justification provided?
 - Is the off-scale supplement correct (if applicable), per off-scale general policies (RB I-8)?
 - Does section "N" provide thorough justification for the level of appointment requested?
 - Is section "O" an accurate, extensive, and **analytical** representation of the candidate's qualifications?
 - If the case contains extramural letters, are letter writers identified **only** by coded list, with no identifying statements?
- II. **Extramural letters of evaluation** and list of evaluators for appointment at the Associate and full level as required (Red Binder I-49)
Extramural Letters
- Are the required number of letters included, including letters from UC or UC familiar referees when appropriate (RB III-12, III-14, III-16)
 - Are at least half of the letters from references chosen by the Chair/Dept independent of the candidate?
 - Have all letters been coded, on all copies?
 - If the letters were sent via email, is a copy of the email and any attachment included?
- Sample Solicitation Letter(s) and/or thank you letter(s) for unsolicited letters**
- Was the proper wording used in the letter (RB I-49 to I-50, III-12, III-14, III-16)
 - Is a list of all informational items sent to referees (e.g. CV, Bio-Bib, publications sent, etc, per RB I-46-VI) included? Is a copy of each item included as either part of the case or a one-of-a-kind item?
 - If different versions of either the letter or the materials went out, is a sample of each included?
- List of Referees, including brief Biography and indicating who selected referees**
- Do the codes on the letters match the codes on the list and the codes used in the departmental letter?
 - Does the list clearly indicate if the referees were candidate, department or jointly selected?
 - Are the names of everyone who was asked to write included? For those who did not respond is a reason for no response listed?
- III. **Complete CV and UCSB Academic biography form.**
- Is the CV up to date?
 - Is the UCSB Academic biography form complete, signed and dated?
- IV. **Copies of publications**
- Has a representative sampling of publications been submitted?
- V. **Recruitment Packet (original only)**
- If required by Red Binder VII-I, III has the Academic Recruitment Packet been included?

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

III-9
DOCUMENTS TO BE SUBMITTED BY THE CHAIR
RESEARCH REVIEWS
(Revised ~~10/11~~ 03/13)

Research series appointments are to be submitted via the on-line case processing system. For all other series, submit the original of each document and one set of publications.

I. **Research Title Review Form** (see Red Binder III-4) or on-line upload screen

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

II. **Departmental letter of recommendation**

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

For All Cases:

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

For Career Reviews:

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

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

See Red Binder I-35 for further information.

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

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

For Research series reviews the candidate must sign an on-line safeguard. For other series, a hard-copy version must be signed. A signed safeguard must be forwarded with each departmental recommendation. If it is difficult or impossible to obtain this document, the Chairperson should explain the situation and indicate in what manner he/she has attempted to meet the requirements outlined in the form.

- Is it signed and dated?
- If the candidate is in multiple departments, is a safeguard statement included for each department?
- If there are no confidential documents (e.g. external letters, minority opinion report), the appropriate box under #5 should be checked.
- Are copies of everything the candidate has provided, or been provided, included with the case (e.g. redacted letters, list of potential evaluators)?

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

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

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

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

Extramural Letters

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

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

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

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

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

VII. **Copies of publications.**

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

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

IV-2
**EMPLOYMENT LIMITS DURING MONTHS THAT INCLUDE
 INTER-QUARTER AND SUMMER PERIODS
 FOR REGISTERED GRADUATE STUDENTS
 2013-14**

(Revised ~~04/13~~ 03/13)

The following chart indicates the number of hours or time factors which may be reported during those months which include inter-quarter or off-quarter period without exceeding the permissible total employment computed at 50% for academic quarter service and 100% for inter-quarter or summer service:

Pay Basis During <u>Academic Quarter</u>	<u>Month</u>	<u>Period at 50%</u>	<u>Period at 100%</u>	Maximum which may be reported for the month:	
				<u>Hours</u>	<u>Percent</u>
11 month GSR	December	12/1/13 thru 12/13/13	12/14/13 thru 12/31/13	136	.7727*
	January	1/6/14 thru 1/31/14	1/1/14 thru 1/5/14	104	.5652 **
	March	3/1/14 thru 3/21/14, and 3/31/14	3/22/14 thru 3/31/14	104	.6190***
	June	6/1/14 thru 6/13/14	6/14/14 thru 6/30/14	128	.7619

Pay Basis During <u>Academic Quarter</u> 9 month (TA or Associate)	<u>Month</u>	Period during which employment beyond <u>50% may occur</u>	Maximum <u>Additional</u> time reported beyond 50% for the month:	
			<u>Hours</u>	<u>Percent</u>
	December	12/14/13 thru 12/31/13	48	.2727*
	January	1/1/14 thru 1/5/14	12	.0652**
	March	3/22/14 thru 3/30/14	20	.1190***
	June	6/14/14 thru 6/30/14	44	.2619

*includes December 24, 25, and 31 holidays

**includes January 1 holiday

** includes March 29 holiday

IV-8
READER
(Revised 08/12 03/13)

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.

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 count towards the limitation on Service (Red Binder IV-1.)~~

- A. Graduate Student Readers must work a minimum of 100 hours during a quarter in order to be eligible for the applicable benefits.
- 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 08/12 03/13)

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. Departments 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

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.

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

Title code **3276 (Graduate Student Researcher- Partial Fee Remission)**: single or multiple GSR appointments that when combined total **100-139 hours** (up to 25% 34% in GSFR.)

Title code **3284 (Graduate Student Researcher- Full Tuition and Full Fee Remission)**: single or multiple GSR appointments that when combined total **140 hours or more** (35% or higher in GSFR.)

Title code **3266 (Graduate Student Researcher- No Remission)**: Appointments during the summer.

III. Term of Appointment

Employment is limited to a maximum of 50% time, either in graduate student researcher positions alone, or in combination with any other appointment at the University. (100% employment is permissible during off-quarter periods and during summer break.)

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

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".

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

V-2
DOCUMENTS TO BE SUBMITTED BY THE CHAIR
ACADEMIC COORDINATORS
(Revised ~~10/10~~ 03/13)

All appointments and advancements are to be submitted via the on-line case processing system. Reappointments are to be submitted on paper.

APPOINTMENTS

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

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

REAPPOINTMENTS

- I. **Departmental letter of recommendation**
Accurate and analytical letters of recommendation from the department are essential in the review process. See Red Binder I-35 for further detail of content of departmental recommendations:
 Are the dates of the appointment, rank and step all clearly stated?
 Is the recommended salary on the published salary scale?
- II. **Job Description**
 Is an updated job description included if there have been changes since the last review?
 If there have not been changes in the job description, does the departmental letter state that fact?
- III. **Recruitment Packet (original only)**
 If required by Red Binder VII-I, III has the Academic Recruitment Packet been included?

MERITS AND PROMOTIONS

- I. **Departmental letter of recommendation**
Accurate and analytical letters of recommendation from the department are essential in the review process. See Red Binder I-35 for further detail of content of departmental recommendations:
 Is the letter signed and dated?
 Is the letter an accurate, extensive, and **analytical** representation of the case?
 If there is a recommendation for an acceleration, are the reasons for the acceleration specifically stated?
 In the case of a negative departmental recommendation, is the basis of the recommendation clearly documented?

Is all relevant information from the Departmental letter accurately entered on the case up-load screen?

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

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

III. **Job Description**

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

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

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

- Has the candidate signed the safeguard statements? The case may not be forwarded until the candidate has signed.*
- Is it signed and dated?*
- If the candidate is in multiple departments, is a safeguard statement included for each department?*
- If there are confidential documents (e.g. letters of evaluation), the appropriate box under #5 and #6 should be checked.
- Are copies of everything the candidate has provided, or been provided, included with the case (e.g. redacted letters, list of potential evaluators)?

V. **Copies of supportive documentation**

- Has a representative sampling of supportive documentation been submitted?

VI-9
PAY & SERVICE PERIODS FOR 2013-4
 (Revised ~~04/12~~ 03/13)

**9-MONTH FACULTY TEACHING THE ENTIRE
 ACADEMIC YEAR (or on leave for any portion)**
NOTE: Monthly salary equals 1/12th of annual

Quarter	Actual Service Period	Pay Period	Checks Issued
Fall	09/22/13 - 12/13/13	07/01/13 - 10/31/13	08/01/13 08/30/13 10/01/13 11/01/13
Winter	01/06/14 - 03/21/14	11/01/13- 02/28/14	11/29/13 01/02/14 01/31/14 02/28/14
Spring	03/31/14 - 06/13/14	03/01/14 - 06/30/14	04/01/14 05/01/14 05/30/14 07/01/14

**9-MONTH TEMPORARY ACADEMICS TEACHING LESS THAN
 3 FULL QUARTERS AND ALL REGISTERED GRADUATE STUDENTS *IN TEACHING TITLES***
NOTE: Monthly salary equals 1/9th of annual

Quarter	Actual Service Period	Pay Period	Checks Issued
Fall	09/22/13 - 12/13/13	10/01/13 - 12/31/13	11/01/13 11/29/13 01/02/14
Winter	01/06/14 - 03/21/14	01/01/14-03/31/14	01/31/14 02/28/14 04/01/14
Spring	03/31/14 - 06/13/14	04/01/14-06/30/14	05/01/14 05/30/14 07/01/14

NOTE: The pay per quarter is the same in both cases. The monthly checks for persons paid in four rather than three installments per quarter will be smaller, but the total amount paid will be the same. The annual amount is the same -- the amount per month is different.

VI-10
ADDITIONAL COMPENSATION
 (Revised ~~04/12~~ 03/13)

General Policies

Reference: APM 660

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

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

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

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

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

Additional compensation for the summer period is calculated using ~~one of two calculation methods~~, the "Daily Factors" (19-day Chart) ~~or the "Partial Month Payment" Chart (Red Binder VI-12)~~. These charts are used to

determine the number of summer days that will be used to make the payments. Each day during the summer can only be used once and the total percent time for each day may not exceed 100%. See Red Binder VI-12 for Chart #1 and Red Binder VI-13 for Chart #2.

Charts and PPS codes

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

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

Dates for 2011 Additional compensation				Dates for 2012 Additional compensation			
Month	Number of Days	% time 19900	% time grants	Month	Number of Days	% time 19900	% time grants
June 11-30	14	.6364	.7368	June 18-30	10	.4762	.5263
July 1-31	21	1.0000	1.1053	July 1-31	22	1.0000	1.1579
August 1-31	23	1.0000	1.2105	Aug. 1-31	23	1.0000	1.2105
Sept 1-18	12	.5455	.6316	Sept. 1-21	15	.7500	.7895

Dates for 2012 Additional compensation				Dates for 2013 Additional compensation		
Month	Number of Days	% time 19900	% time grants	Month	Number of Days	Percent time
June 18-30	10	.4762	.5263	June 17-30	10	.5263
July 1-31	22	1.0000	1.1579	July 1-31	23	1.2105
Aug. 1-31	23	1.0000	1.2105	Aug. 1-31	22	1.1579
Sept. 1-21	15	.7500	.7895	Sept. 1-20	15	.7895

VI-12

CHART #1- "19-DAY CHART"

(Daily Factors)

(Revised 10/96 03/13)

Number of Working Days in the Month that will be used	Distribution Percentage to be used	Number of Working days in the Month that will be used	Distribution Percentage to be used
1	.0526	13	.6842
2	.1053	14	.7368
3	.1579	15	.7895
4	.2105	16	.8421
5	.2632	17	.8947
6	.3158	18	.9474
7	.3684	19	1.000
8	.4211	20	1.0526
9	.4737	21	1.1053
10	.5263	22	1.1579
11	.5789	23	1.2105
12	.6316		

When using the 19-day chart #1, 3/9ths is equal to 57 working days (not 3 calendar months). ~~This is based on requirements from federal granting agencies that a month is equal to 19 working days.~~ *This is based on the average number of working days in a regular academic quarter.* Working days are defined as Monday through Friday, including paid holidays. Additional compensation may, therefore, never exceed a total of 57 working days during the summer period. A distribution line on the payroll system may show in excess of 1.0000 in a given month, provided that the total compensation is to exceed one month (19 days). If a total of 2/9ths is to be received, the individual could receive more than 1/9th in the first month (distribution line showing more than 1.0000), and the remainder in the second month for the total distributions to equal 2.0000.

Delete

VI-13

CHART #2

PARTIAL MONTH PAYMENTS

(Actual Working Days)

(Revised 10/97)

DAYS PER MONTH 20 21 22 23 20 21 22 23

HOURS PER MONTH 160 168 176 184 160 168 176 184

DAYS
WORKED

DAYS
WORKED

1	.0500	.0476	.0455	.0435	13	.6500	.6190	.5909	.5652
2	.1000	.0952	.0909	.0870	14	.7000	.6667	.6364	.6087
3	.1500	.1429	.1364	.1304	15	.7500	.7143	.6818	.6522
4	.2000	.1905	.1818	.1739	16	.8000	.7619	.7273	.6957
5	.2500	.2381	.2273	.2174	17	.8500	.8095	.7727	.7391
6	.3000	.2857	.2727	.2609	18	.9000	.8571	.8182	.7826
7	.3500	.3333	.3182	.3043	19	.9500	.9048	.8636	.8261
8	.4000	.3810	.3636	.3478	20	1.0000	.9524	.9091	.8696
9	.4500	.4286	.4091	.3913	21		1.0000	.9545	.9130
10	.5000	.4762	.4545	.4343	22			1.0000	.9565
11	.5500	.5238	.5000	.4783	23				1.0000
12	.6000	.5714	.5455	.5217					

VI-14
EXTRAMURALLY FUNDED RESEARCH
(Revised ~~10/11~~ 03/13)

Payment During the Academic Year

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

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

Payment during the summer:

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

NIH-Funding restrictions:

While faculty are in general allowed to receive up to a maximum of 3/9ths summer pay, some funding sources may contain restrictions that further limit the allowable total. Faculty and departmental staff must observe these limitations.

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

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

VI-15
INTERCAMPUS PAYMENTS
(Revised 02/10 03/13)

Reference: APM 666

One-time Payments

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

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

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

Multi-campus appointments

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

Processing of forms

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

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

VI-17
OTHER ADDITIONAL COMPENSATION
(Revised ~~10/10~~ 03/13)

I. Summer Session teaching

Reference: APM 661-14

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

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

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

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

II. University Extension ~~and Off-Campus Studies teaching~~

Reference: APM 662, appendix B-2

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

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

III. Faculty consultant services

Reference: APM 664

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

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

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

IV. University awards

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

V. Department Chair and Director stipends

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

~~VII. Start-up or retention 19900 funded summer salary~~

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

VIII. Dean summer research compensation

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

~~IX. VII~~ Other Summer Additional Compensation

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

VI-19
PAYROLL FORMS
(Revised 05/02 03/13)

Departments and Organized Research Units have the responsibility of preparing all Payroll forms for new employees. The chart on VI- 21 summarizes the forms necessary for each type of new hire.

OATH OF ALLEGIANCE & PATENT ACKNOWLEDGMENT

Departments have the responsibility to assure that all persons who use University facilities under their sponsorship (whether or not that person receives compensation) are properly covered by workers' compensation Insurance and that the University's interests are protected.

Persons who are entered into the payroll system and sign the Loyalty Oath are officially considered employees and thus are covered by the University's worker's compensation Insurance. All those who are on campus for more than 2 weeks must be appointed to an appropriate academic title, entered into the payroll system and must sign the Loyalty Oath (except aliens) and Patent Acknowledgment .

Graduate students who are engaged in extramurally funded research projects, whether compensated or not, must also sign the University's Patent Acknowledgment, as must consultants who work in an advisory capacity with University people engaged in extramurally funded research. In other words, all who use UCSB research facilities, whether or not receiving compensation, whether or not actually employed must sign a University Patent Acknowledgment. The Patent Acknowledgment should be retained in the departmental files for 5 years for those individuals who are not employed. For those who execute the employment forms, the Patent Acknowledgment is attached as part of the documentation required for the appointment process.

EMPLOYMENT ELIGIBILITY FORM (I-9)

Each new employee must show evidence that they are eligible to be employed in the United States. It is the Department's responsibility to determine the status of employees. The I-9 form must be completed on or before the first day of actual work. For 9/12 employees the form must be completed on or before the first day of the quarter of initial employment. Questions concerning visa and citizenship status should be directed to the Office of International Students and Scholars at extension 2354.

VISITOR LETTER FOR WITHOUT SALARY RESEARCH APPOINTMENTS

For those appointments that are without salary and do not require a payroll appointment be processed (see Red Binder VI-21), a visitor letter must be submitted, along with a signed Patent Acknowledgment to the Vice Chancellor for Research. This letter will provide sufficient justification for Workers Compensation claims and will establish eligibility for library, parking, and UCSBnetID based privileges for the individual. See sample letter, Red Binder VI-20.

Academic Recruitment Packet

(revised 1/13)

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

Today's Date: _____

FTE Provision Number: _____

Division: _____

Department Code: _____ Department Name: _____

Title Code: _____ Payroll Title: _____

Area of Specialization: _____

Expected Recruitment Type (circle one): External Internal

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

Expected Appointment Begin Date: _____

Expected Appointment End Date: _____

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

Department Contact / Preparer: _____ Extension: _____

**Route entire packet upon completion of each section

Part 1 - Recruitment Plan for Academic Vacancies

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

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

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

Academic Recruitment Packet

(revised 1/13)

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

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

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

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

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

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

Signatures:

 Department Chair/Director

Academic Recruitment Packet

(revised 1/13)

Control Point*

Office of Equal Opportunity & Sexual Harassment / Title IX Compliance

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

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

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

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

4. Attach a copy of the **Applicant Evaluation Summary** which should include a list of the applicants and identify which of the following categories they fall into:

- a. Met qualifications
- b. Semifinalist
- c. Finalist
- d. Intend to interview

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

6. Attach copy of CV for each finalist

Signatures:

Department Chair

Academic Recruitment Packet

(revised 1/13)

Office of Equal Opportunity & Sexual Harassment / Title IX Compliance

Dean

Part 3 – Equal Opportunity Hiring Proposal

Appointment Begin Date: _____

Appointment End Date: _____

Appointment Percentage of Time: _____

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

Attach an updated Applicant Evaluation Summary if changes to the make up of your pool have occurred.

Signatures: _____

Department Chair/Director

Office of Equal Opportunity & Sexual Harassment / Title IX Compliance

Control Point*

*Control point signatures:

Type of appointment

signature required

Ladder Faculty

College/Divisional Dean

Librarians

University Librarian

Delete- to downloadable forms only

VII-9

Academic Recruitment Packet

(revised 1/13)

University Librarian College level appointments	Associate Vice Chancellor, Academic Personnel
Lecturer	College/Divisional Dean
Researcher, Specialist Project Scientist	Office of Research
Academic Coordinator	College/Divisional Dean or Academic Personnel as appropriate

VIII-9
PRESIDENT'S RESEARCH FELLOWSHIP IN THE HUMANITIES
(Revised ~~11/03~~ 03/13)

The President's Research Fellowships in the Humanities provide opportunities for faculty to undertake projects that will enhance humanities research efforts at the University and make contributions to thought and knowledge. Further information and application forms are available at <http://www.ucop.edu/research/prfh/> ~~http://www.ucop.edu/research/prfh/~~ <http://uchri.org/funding/funding-overview-and-calendar/>

Eligibility: All active ladder faculty, including lecturers with Security of Employment, may apply. The Fellowships are intended for a range of full-time University faculty, including those who have already made significant contributions to scholarship and those who are beginning their careers. Faculty may hold a Fellowship once every five years. Assistant Professors will be given special consideration.

Type of Support: The maximum fellowship amount, to be used for salary only, is \$25,000. The total support package will be developed by the Executive Vice Chancellor, in consultation with the Dean of Humanities and Fine Arts. Typically, the fellowship, campus match, and exchange of sabbatical leave credits will total the faculty member's full-time salary during the award period. The faculty member must have accrued a minimum of six credits to receive the College matching contribution.

Evaluation Criteria: Applications will be evaluated on the following criteria:

1. The significance of the contribution that the proposed project will make to thought and knowledge in the applicant's field and to the Humanities general;
2. The clarity and cogency of the conception, definition, organization, and description of the proposed project;
3. The appropriateness of the proposed project goals, strategies, and timetable; and
4. The likelihood that the applicant will complete the project within a reasonable period (not necessarily within the Fellowship year).

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

Compensation and leave requests: Once awarded the Fellowship, the faculty member must submit a request, via the Department Chair, to the Dean confirming the intent to take the leave and the terms of the leave. The Department Chair should indicate endorsement of the leave and verify that course replacement issues have been dealt with.

The period of the Fellowship will be entered into PPS as a Leave with Salary through the leave bundle. All pay sources (Fellowship, exchange of sabbatical leave credits, College supplement) may be included on the same distribution line using the LWS dos code.