

September 27, 2013

To: Department Chairs, Directors, Business Officers and all faculty

From: Cindy Doherty, Director  
Academic Personnel

Re: Red Binder updates

A number of revisions to the Red Binder (UCSB campus academic personnel policies and procedures) have been posted at the Academic Personnel web site. A summary of the changes is attached for your convenience.

The Red Binder may be found at:

<https://ap.ucsb.edu/policies.and.procedures/red.binder/index.cfm>

In addition, you may view the annotated changes at the following web address on the Academic Personnel home page:

<https://ap.ucsb.edu/policies.and.procedures/red.binder/updates/>

## Red Binder updates, September 2013

### Summary of changes

- I-17 Update of salary scale reference. Clarification of timing on pay out of recruitment allowance.
- I-20 Updates to accurately reflect system-wide accounting policies regarding removal expenses
- I-27 Instruction regarding submission of publications via links rather than hard copy
- I-29 Add references to on-line prior approval process
- I-31, 34 Additions to case checklists regarding electronic submission of publications and online course evaluation
- I-35 Instructions regarding identification of hard copy vs. on-line course evaluations
- I-43 Changes to above scale policy. Elimination of the 5-7% range as “normal” advancement. 7% increase for sustained excellence as well as evidence of merit and distinction.
- I-46, I-48 Clarification regarding information on external evaluators that is to be included in the case
- I-70, II-1,  
III-1 Addition of new Academic Recall Appointment form. Form available via Academic Personnel web-site. Further implementation information will be distributed shortly.
- II-10 Clarification of voting eligibility for excellence reviews and merits for Continuing Lecturers
- II-14 Addition to case checklist regarding online course evaluation
- II-28 Expanded language to clarify when the Visiting Professor series can appropriately be used without prior appointment in a comparable academic or research position
- II-31 Clarification of appropriate processes for short term teaching assignments by current UCSB employees
- III-9 Addition to case checklist regarding electronic submission of publications
- III-21 Clarification of cases that are career reviews. Moving policy to section V, Other Academic Titles.

- IV-1 Reformat of information. Addition of reference to Graduate Student Researcher child-care reimbursement program
- IV-3 Change of Senate review committee from Undergraduate Council and CUAPP to Committee on Courses and General Education (CCGE)
- V-20 Professor of Practice (new policy). This policy will be issued at a later date.
- VI-17 Clarification that start-up and retention summer salary is to be paid using the 19 day methodology
- IX-20 Updates to Appendix A, listing of referral officers and adjudicating officers for various employee groups
- IX-30 Corrections of policy to accurately reflect APM policy

**NEW LADDER FACULTY COMMITMENTS**

(Revised 04/13 09/13)

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.

**Faculty Recruitment allowance**

The Faculty Recruitment Allowance (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 40 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 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 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. **Faculty are encouraged to consult with their departments prior to entering escrow to assure that the payment may be issued during the escrow period.** A Department or College may require proof of entry into escrow or other appropriate documentation prior to payment of the faculty recruitment allowance.

Faculty recruitment 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 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 allowance should be made at least 30 days in advance of the date the money is needed.

I-20  
**REMOVAL EXPENSES**  
(Revised 01/09 09/13)

Removal expenses may be provided for certain new appointees to academic positions (see APM 560-14). For those eligible, removal expenses are paid in accordance with University and IRS regulations. ~~and the procedure described below.~~ Any exceptions to policy, including full removal expenses, must be requested at the time of appointment.

UC Policy (one-half of the total cost)

~~University policy allows for coverage of one-half of the total eligible costs associated with~~ Expenses for which the University may reimburse eligible personnel for a single move from one physical location, ~~including the following:~~ are as follows:

1. Packing, freight and insurance of normal household goods (see definition below), when properly supported by invoices and/or receipts, ~~in accord with Section V of UC Policy BFB-G-13: Policy and Regulations Governing Moving and Relocation.~~
2. Air coach transportation for appointee and ~~immediate family members of the household~~ or an equivalent amount for other travel in accordance with standard airline fare policies and University travel regulation.
3. Meals en route for appointee and ~~immediate family members of the household~~ in accordance with University travel regulations. If travel is by automobile, the cost of meals is an allowable expense only to the extent that might have been necessary if travel had been by air coach.

A newly-employed faculty member may ~~be reimbursed for the~~ ~~have the~~ total cost of removal of his/her personal library ~~covered~~, but only if such library is to be made generally available to students and faculty; otherwise ~~reimbursement coverage~~ is one-half of the total cost. It will be necessary for the involved faculty member to secure from his/her moving company a breakout of the shipping costs for the portion of the shipment that is for library-related materials. Without this estimate, only 50% ~~reimbursement coverage~~ will be allowed.

Household goods include: personal property such as furniture, clothing, musical instruments, household appliances, and other items which are usual and necessary for the maintenance of a household. ~~Also included are household pets if approved in advance of shipment.~~

~~Household goods specifically do not include items listed in the next section.~~

Full Removal (Exception to Policy Removal)

~~An exception to allow for full removal coverage may be requested by the Department at the time the start-up commitment is request.~~ If full removal is provided, all reasonable removal costs will be ~~reimbursed covered~~ for a single move, ~~in accord with UC Policy BFB-G-13: Policy and Regulations Governing Moving and Relocation and~~ subject to the following conditions.

Faculty receiving 100% removal ~~expense reimbursement~~ will ~~not be reimbursed for equivalent air coach fare for themselves and their immediate families if they elect to drive to California. Reimbursement have travel for themselves and members of the household~~ made on the lesser of one-way coach fare ~~for appointee and immediate household members~~, or actual expenses (airfare or mileage reimbursement, lodging, and meals en route) at UC allowable rates per G-28, Policy & Regulations Governing Travel and G-13, Policy & Regulations Governing Moving and Relocation. Receipts will be required. If, for personal reasons, an indirect route is traveled or the trip is extended, ~~reimbursement coverage~~ shall be based only on such charges as would have been incurred by the usually traveled route. All appointees must purchase the least expensive air tickets to the Santa Barbara area.

Prospective faculty should be aware that costs for the following cannot be ~~reimbursed covered~~

- transport of trailers, boats, ~~other motorized recreational vehicles~~, or ~~more than two~~ motor vehicles ~~other than the primary automobile~~
- transport of belongings related to commercial enterprises engaged in by the employee
- transport of building materials

- *transport of animals other than household pets*
- *assembly and disassembly of unusual items such as, but not limited to, satellite dishes, storage sheds or pool tables.*
- *Canned, frozen or bulk foodstuff.*
- *Plants*

#### Advance Approval

Advance approval will be required ~~to be reimbursed in full or in part for these costs:~~ *for coverage of costs associated with a move from more than one physical location (a staged move) or any other exception to policy. Coverage under such exceptions may be considered taxable income.*

- ~~transport of primary automobile~~
- ~~transport of household pets~~
- ~~movement of belongings from more than one physical location~~
- ~~actual and reasonable storage for up to 60-30 days immediately after their removal from the primary residence~~
- ~~overtime deliveries~~

#### Procedures for Reimbursement

Application for reimbursement of removal expenses shall be made to the campus Accounting Office on the University's Travel Expense Voucher, form 85R. Forms can be obtained through the departmental administrative assistant who will offer assistance with the details of data for inclusion in making application for reimbursement. Further information may be obtained from the Accounting Office web site at: <http://www.accounting.ucsb.edu/travel/>

## INSTRUCTIONS FOR COMPLETION OF THE

### BIO-BIBLIOGRAPHY

(Revised ~~04/13~~ 09/13)

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 via the Forms section of the Academic Personnel web site.

#### 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 publications are being submitted via an electronic link, the link must be listed at the end of the "Title and Author" information as shown in the sample bio-bibliography (make this a link). The link must go directly to the specific item. Electronic links may only be used for documents that are considered to be the final version. In general, work in press and published may be provided electronically while work submitted or in process should be submitted in hard copy format. All links should be verified prior to submission of the case.*

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.

*A line may be drawn or footnotes added to indicate the transition from hard-copy to on-line course evaluations.*

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.



**CONFLICT OF COMMITMENT AND OUTSIDE PROFESSIONAL ACTIVITIES**(Revised ~~09/09~~ 09/13)**General information**

APM 025 provides specific guidelines concerning potential conflicts of commitment that may arise when faculty participate in outside professional activity, both compensated and uncompensated. While there is great value in activities outside the University that advance and communicate knowledge, it is important that these activities not conflict with the faculty member's primary responsibility to the University.

Faculty members holding the following titles are subject to APM 025 and are required to submit an annual report:

Assistant Professor, Associate Professor, Professor

The above titles when used with an Acting, Adjunct or Visiting pre-fix

Lecturer SOE, Senior Lecturer SOE

In addition, administrative officers who hold appointments in any of the above titles are subject to APM-025, regardless of the current percent of time in the academic appointment.

A full-time faculty member on a nine-month appointment normally may not engage in compensated outside professional activity for more than 39 days during the academic year. Outside employment in excess of this time limit for an individual faculty member, or a group of faculty, may be approved when in the Chancellor's (or Chancellor's designee's) opinion the activity benefits the University. The 39 day limitation does not apply during periods of leave without pay.

**Categories Of Outside Professional Activity**

Three categories of compensated outside activity have been defined, in terms of the extent to which they may raise a conflict of commitment. See APM-025 for a complete explanation of activity

Category I activities are likely on their face to raise issues of conflict of commitment. Such activities are **not allowed without prior approval** from the Chancellor or designee, and when approved are subject to the 39-day limit, and must be reported on an annual basis. Prior approval is required even if the activity will take place during a period of leave without pay. Category I activities include:

- Assuming an executive or managerial position in a for-profit or not-for-profit business.
- Administering a grant outside the University that would ordinarily be conducted under the auspices of the University.
- Establishing a relationship as a salaried employee outside the University, including teaching or research at another institution.
- Other compensated professional activity that common sense and good judgment would indicate are likely to raise issues of conflict of commitment.

Category II activities are unlikely to raise issues of conflict of commitment. They are allowed without prior approval up to the 39-day limit and must be reported on an annual basis. Such activities include:

- Testifying as an expert in administrative, legislative, or judicial hearings;
- Providing consulting services or engaging in professional practice as an individual, single- member professional corporation or sole proprietorship.
- Serving on the board of directors of an outside entity
- Providing workshops for industry
- Other compensated outside professional activity not mentioned in Category I or III that common sense and good judgment indicate are not likely to raise issues of conflict of commitment.

Category III activities are accepted as part of a faculty member's scholarly and creative work. Even if compensated they are allowed, and do not count towards the 39-day limit. Category III activities include:

- Serving on a committee, panel, or commission established by a governmental agency;
- Acting as a reviewer or editor for journal or book manuscripts.
- Serving as a committee member or an officer of a professional or scholarly society, or providing professional services to such societies.
- Participating in or accepting a commission for an artistic performance or event not sponsored by the University.
- Presenting an invited lecture or paper at a meeting.
- Developing scholarly communications, even when such activities result in financial gain.
- Accepting honoraria (other than those received for Category II activities) and prizes.

### **Prior approval requirements**

Request for approval to: (1) engage in Category I activities, (2) exceed the 39 day limit, or (3) involve a graduate student in outside professional activity must be submitted to the Department Chair by **June 30** for the upcoming academic year. *Prior approval requests are submitted using ~~the~~ Prior Approval For Compensated Outside Activities form, (APM-025, appendix B) via the Academic Personnel web site, is to be used for such requests. The report is accessed by signing on to the Academic Personnel web site, selecting the Outside Professional Activities link, and then the Prior Approval tab.* The Department Chair will review the request within the context of departmental teaching demands, sabbatical leaves, other leaves, etc., and endorse or deny each request. The request will then be forwarded to the appropriate Dean for approval. If the faculty member, Department Chair and Dean agree, the Dean's decision will be final. In cases of disagreement, the Dean will consult with the Associate Vice Chancellor for Academic Personnel to reach a decision. A copy of the signed form is to be forwarded to the Academic Personnel office.

### **Category I exceptions**

Exceptions to engage in compensated teaching (with the exception of occasional lectures) or research at another institution while employed as a full time faculty member are not permitted without prior ~~written~~ approval of the Executive Vice Chancellor. This restriction applies both during periods of paid service and periods of leave without pay.

### **Graduate Student involvement**

Before involving a student in an outside professional activity in which a faculty member has a financial interest, the faculty member must obtain prior written approval as described above. Involvement means any substantive activity, whether paid or unpaid. The campus Policy on Conflict of Interest Graduate Students Working with Industry (Red Binder VII-13) provides guidelines for such activity.

### **Reporting requirements**

All activity that is subject to the 39-day limit as described above must be reported on an annual basis. The annual report period is from July 1st to June 30th of each year. The Report of Category I and II Compensated Outside Professional Activities form (APM-025, appendix C) is to be used for reporting purposes. This report must be completed on-line annually by each faculty member by September 15 of the calendar year. Faculty are to sign on to the Academic Personnel web site and use the Outside Activities Reporting link, *My APM-025 tab*, to complete the report. The Chair must review and approve each report. The Dean will review and approve the report of the Chair. Reports are to be maintained in the department until the next personnel action at which time they will be included with the merit or promotion case. The reports are considered to be non-confidential in nature and are subject to public inspection.

**DOCUMENTS TO BE SUBMITTED BY THE CHAIR****ROUTINE MERITS**(Revised ~~04/13~~ 09/13)

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 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 safeguard for each departmental recommendation. If it is difficult or impossible to obtain 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.

- 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) 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**

- 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?
- Does the file accurately indicate which course evaluations were done via hard-copy and which were done on-line?*
- 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 were taken during the review period are copies of the reports included with the case?

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

- Has a report been completed for each academic year within the current review period included?  
 Is the form 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 publications are being included via a link in the bio-bib, has the link been verified?*  
 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 04/13 09/13)

*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 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 safeguard for each departmental recommendation. If it is difficult or impossible to obtain 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.

- 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 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**

- 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?
- Does the file accurately indicate which course evaluations were done via hard-copy and which were done on-line?*
- 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 (VI. 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 were taken during the review period are copies of the reports included with the case?

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

- Has a report been completed for each academic year within the current review period included?
- Is the form 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 publications are being included via a link in the bio-bib, has the link been verified?*
- 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.

**HOW TO WRITE A DEPARTMENTAL LETTER****Appointments and ~~Non-Routine~~ Advancements**

(Revised 02/10 09/13)

Accurate and analytical letters of recommendation from the department are essential in the review process. The candidate and his/her department must make the case; other reviewing agencies cannot do so. The analysis should be extensive, and for promotions, merits to Professor VI and to Above Scale the analysis should cover the cumulative record of the candidate. In cases where acceleration is recommended, explicit justification must be given for the recommendation. In any case, the letter should clarify which of the candidate's accomplishments precede the last review and which follow.

Personnel reviews that have been deferred due to a family accommodation (i.e. childbearing or parental leave, time off the clock) should be evaluated without prejudice as if the work were done in the normal period of service. The departmental letter should clearly state that the standard expectations are being applied.

In the case of a negative departmental recommendation, the basis of the recommendation should be documented as well. The analysis overall should strive for balance. It should identify criticisms and reservations, especially when there is significant opposition to the recommendation. It should, if indicated, include an assessment of the significance of particular extramural views or judgments. Individuals who have provided confidential letters of evaluation should not be identified, except by means of a coded list (e.g., "Reviewer A"). Note that in career reviews (promotions and advancement to Professor VI or Above Scale), the department letter should provide an overview of career accomplishment as well as the achievements of the most recent review period.

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

Teaching, research, professional and public service contributions that promote diversity and equal opportunity are to be encouraged and given recognition in the evaluation of the candidate's record.

Suggested format for letters of recommendation

1. Brief outline of the mechanisms used for soliciting information and evaluating the academic performance of colleagues in cases of merits, promotions, and so forth (e.g., departmental use of ad hoc committees, teaching evaluation committees, departmental meetings to assess candidates, etc.). Explanation of any apparent anomalies in the voting, e.g., a disproportionately small number of votes relative to departmental size, or excessive abstentions should also be explained.
2. The basis for the departmental recommendation, including analytical evaluation of the performance in each of the four review areas.

A) Research

Present a full evaluation of candidate's research record, indicating the significance of the research accomplishments.

The departmental letter should present the publication record for the current review period according to the following format: [A] Published work; [B] Work in press; [C] Work submitted.

In certain fields such as art, architecture, dance, music, literature, and drama, distinguished creativity should receive consideration equivalent to that accorded to distinction attained in research. In

evaluating artistic creativity, an attempt should be made to define the candidate's merit in the light of such criteria as originality, scope, richness, and depth of creative expression. An important element of distinction is the extent of regional, national, or international recognition.

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

#### B) Teaching

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

The letter should include an evaluation of the candidate's teaching performance, including an analytical evaluation of the ESCI scores and indicating the significance of the record. *The letter should clearly indicate which courses were evaluated on-line and should take into consideration the possible impact of the change in methodology from paper to on-line evaluation.* ~~This~~ *The analysis* should include information on the number of graduate committees (MA and Ph.D. as reflected in the bio-bibliography).

#### C. Professional Activity

The departmental letter should include a full analysis of the candidate's performance, indicating the most prominent features of the record. The significance of honors, awards and extramural grants should be described.

#### D. University and Public Service

The letter should include a full analysis of candidate's involvement, indicating the significance of the record and the quality of the service.

### 3. Summary

This section is optional, and may be used to summarize the most significant accomplishment of the review period, and to provide an explicit justification for acceleration or other special action.

In cases of appraisal, departments may make one of the following three recommendations: a) Continued Candidacy: indicating an assessment that the candidate is likely to eventually qualify for promotion to tenure rank. B) Continued Candidacy with Reservations: indicating an assessment that there is an identified weakness in the record that appears to require correction in order for the individual to eventually qualify for promotion to tenure rank. C) Terminal appointment. In addition, the letter must also include an evaluation of the performance as progress toward eventual tenure.

#### Chair's Separate Confidential Letter

While this option is not often used, the Chair may, in accordance with APM 220-80e, submit a separate letter indicating his/her own analysis and recommendation. This letter is not made available to other members of the faculty in the department. It should be noted that a Chair's separate letter is designed to be evaluative of the evidence available to the department; new evidence can be considered on the rare occasions when it could not be appropriately shared with the department. A Chair's confidential letter may also be used to address unresolved issues between majority and minority opinions related to a case, or to address a candidate's comments in response to the departmental review. When a Chair submits a confidential "Chair's separate letter", it should be clearly identified as such, and will become part of the personnel review file. The status of such a letter is considered to be non-departmental (as is a letter from a dean). It is not submitted to an ad hoc review committee when one is convened. As a "confidential academic review record" (as defined in APM 160-20-b), a Chair's letter will be made available to the candidate upon request along with other review agency reports at the end of the review process.



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

(Revised 08/12 09/13)

Advancement to Professor Above Scale is reserved for scholars and teachers of the highest distinction (1) whose work of sustained and continuing excellence has attained national and international recognition (2) whose University teaching performance is excellent, and (3) whose University and public service is highly meritorious, and (4) whose professional activity is judged to be excellent. Advancement to Professor Above Scale will normally occur after at least four years of service at Professor IX with the individual's complete academic career being reviewed.

A merit increase for a candidate already serving at an Above Scale salary level must be justified by new evidence of merit and distinction appropriate to this highest level of the professorship. Continued good service is not an adequate justification. Merit increases normally range between 5-7%, where A merit increase of 7% 5% reflects sustained excellence in all four review areas as well as new evidence of merit and distinction. Increases of more than 7% are, and 7% is reserved for accomplishment that demonstrably exceeds in every review area the already high expectations for achievement at this level. Examples include exceptional research productivity or professional activity, significant recognition such as distinguished awards, prizes, endowed lectureships, or elections, or extraordinary university service. The normal interval between salary increases is a minimum of four years, but may be indefinite. Accelerations at intervals of less than four years or of more than 7% will not be approved except for the most superior cases, supported by compelling evidence and a reasoned argument. why a 7% increase should be exceeded or an exception to the four-year interval should be made.

**GUIDELINES FOR LETTERS OF EVALUATION**(Revised ~~04/13~~ 09/13)**I. Solicited letters**

When letters of evaluation are solicited, the models on the following pages should be used. These letters may be modified slightly; for example the confidentiality statement may be listed on a separate sheet as an attachment referenced in the body of the letter. "Please see the attached University of California statement on confidentiality." Although the content may be rearranged, none should be deleted without prior approval by the Office of Academic Personnel. Departments may choose to use a two-stage solicitation process whereby individuals are first asked, by memo or e-mail, if they would be willing to provide a letter. Those that agree will then be sent materials for review.

**II. Unsolicited letters**

When unsolicited letters of evaluation are received from an individual or institution, a response should be sent which explains the University's position on the confidentiality of such records. See sample wording H, "Sample thank you letter for unsolicited comments." Unsolicited letter writers should be listed on the list of extramural letter writers and a copy of the thank you letter must be included with the case.

**III. Letters for Assistant Professor Appointments and Restricted letters**

Restricted letters or placement files may be used in Assistant Professor appointment cases of candidates who have not held prior academic positions post-terminal degree. Appointments requested at the Assistant Professor IV or V level, or for candidates who have held prior academic positions post-terminal degree, should preferably contain evaluator letters solicited by the department or submitted as part of the applicant file.

When letters of evaluation are received from individuals or institutions that have restrictions placed on the use of the materials forwarded, the sending individual must be notified that under applicable University policy and legal standards the department cannot accept and use evaluations under such restricted conditions. There are two reasons:

1. When a candidate is appointed, evaluations considered at the time of appointment become part of his/her permanent academic personnel record.
2. The University is legally required to maintain, for at least two years, documentary materials pertaining to all applicants in a completed search.

In addition, such material may be relevant in litigation in which discrimination in the appointment process is alleged, or in federal or state agency proceedings that inquire into compliance with applicable governmental affirmative action standards. Therefore, when a department receives a file with such limitations on use, the sending individual should be informed that the Department can not accept the material under the conditions stated. Sample wording I, "Restricted Material" may be used in these circumstances. If the sending individual requests that the file not be used, the evaluatory material in the file can not be considered by the department. Placement files from other UC campuses may be used in an appointment case without being considered restricted. However, placement files from any other University must be treated as restricted if the cover sheet includes a statement indicating that the letters will not be used for any personnel case purpose.

**IV. Letters for tenured appointments/promotion**

Letters should come from tenured faculty at distinguished institutions, preferably from full professors. Letters from UC familiar reviewers, are necessary for all tenured appointments, promotions and career reviews. Letters from UC familiar writers are essential for appointment/advancement to Professor VI and Professor Above Scale, preferably from faculty already at these senior ranks. Departments should strive to include at least two UC familiar letters for cases in which such letters are required. At least half of the letters submitted with the case should come from references chosen by the Chair in consultation with the department but independent of the candidate. The letters solicited by the department should come from scholars who have not been closely associated with the candidate as collaborators in research, or as teachers, colleagues, or personal friends. An effort should also be made not to contact individuals who have contributed letters for prior reviews of the same candidate. It will be helpful for the candidate to know that a request not to use certain potential evaluators will be made part of the review file and, while such requests may be disregarded (if proper evaluation requires such action), they are made and honored regularly and that a reasonable request should in no way jeopardize the candidate's case. A minimum of six analytic letters is required. Typically, more than six letters will have to be solicited in order to achieve this minimum.

Any deviation from the above requirements (i.e. less than two UC familiar evaluators, fewer than six letters, an uneven mix between department and candidate nominated) should be fully explained by the department. Any reviewing agency may request, through the Office of Academic Personnel, that the file be augmented by additional extramural letters if the letters supplied with the case are viewed as inadequate for proper evaluation of the case. Since such requests delay the review of the case, it is important that the letters supplied by the department meet the above requirements.

#### **V. List of evaluators and additional information**

The Chair must submit a list of all persons from whom an extramural letter was solicited (~~whether supplied or not~~) (Red Binder I-48). *The list must indicate which names were submitted by the candidate and which were submitted by the department. In addition the list must contain the following information for individuals who provide letters: giving name, position/title, institution, field of expertise, identification of past collaborative relationship with the candidate, and any past reviews for which the letter writer also contributed a letter, indicating which names were submitted by the candidate. When a two-step solicitation process (see I, above) is used, identifying information is only required for reviewers who have responded positively to the initial request.* Similar information must be provided for any unsolicited letters included in the file. Special attention should be given to describing the qualifications and stature of the extramural referees. *For individuals who either did not respond to the initial request to write or declined to write, only their name and home institution need be included on the list. Such The* lists should be accompanied by a master copy of the letter requesting evaluation, 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. The manner in which referees were selected should be described (e.g., “by departmental ad hoc committee”, “by Chair in consultation with three senior colleagues”, and so forth). The Chair should ensure that individuals who have provided confidential letters of evaluation are not identified in the departmental letter, except by means of a coded list, appended to the department letter.

If letters are solicited, but the decision by the department is to not forward an advancement case, the letters must be maintained by the department and be included in the next advancement case along with any new letters solicited. However, if the letters are not used within three years, they may be destroyed.

If electronic mail is used to solicit or receive letters of recommendation the sample letter format must be followed, and a printed copy must be retained. Redaction of electronic responses should eliminate all headers and footers that would identify the sender. If the response is sent as an e-mail attachment, the e-mail and the attachment must both be included in the case, both properly redacted.

When an individual holds appointments in more than one department (joint appointments), the departments may solicit letters jointly, if appropriate.

Contact between the Chair and individuals from whom letters are being solicited is permissible in order to encourage response, but great care must be taken to not bias or influence the judgment of the referee.

**SAMPLE LIST OF EXTRAMURAL REFEREES**

(Revised 07/05 09/13)

SUGGESTED BY DEPARTMENT

- A. Dr. David Rodriguez -- Professor of Psychology at Stanford University, Dr. Rodriguez has been recognized as the leading authority on bilingual language acquisition among children for the past twenty years and is a member of the National Academy of Sciences..
- B. Dr. Jane Williams -- Currently Clinical Director for the Center for the Study of Linguistic Development in Cambridge, MA. Dr. Williams has written the authoritative text on linguistic development and now heads the most extensive longitudinal study of bilingual children in the nation.
- C. etc.
- D. etc.

SUGGESTED BY CANDIDATE

- E. Dr. Keo Carey -- Chair of the Psychology Department at Penn State. Dr. Carey was Maria Smith's Ph.D. advisor.
- F. etc.
- G. etc.

UNSOLICITED COMMENTS

- H. etc.
- I. etc.

DID NOT RESPOND

Joe Smith, Harvard University  
Anne Brown, UC Berkeley

*DECLINED TO WRITE*

CANDIDATE REQUEST TO NOT CONTACT

**PROCEDURE FOR RECALL OF PROFESSOR EMERITUS**

(Revised 08/12 09/13)

A ladder-rank faculty member or Lecturer with Security of Employment who has retired and attained the rank of Professor Emeritus or Lecturer SOE Emeritus, may be recalled to active teaching duty for one quarter or more. Emeriti faculty may also be recalled for research activity. A faculty member may be recalled 90 days after the date of retirement, or after receipt of the first retirement payment, whichever occurs first. However, in no case may a faculty member be recalled sooner than 30 calendar days after the retirement date. Appointments may not exceed 43% time, alone or in combination with other recall appointments. Exceptions to this limit may be granted only by the Chancellor and will rarely occur. A faculty member considering returning on a recall basis in the quarter immediately following retirement should consult with the benefits office.

Requests for all recall appointments are made using the Academic Recall Appointment Form. ~~must include a department letter — indicating annual salary, percent time, current year cost, brief discussion of duties, and an updated UCSB Academic Biography form if there have been changes since the last appointment.~~

**I. Teaching appointments**

The appropriate annual salary for the recall appointment is the annual rate at the time of retirement, or the current on-scale salary for the step attained at the time of retirement, whichever is greater. In general, the recall rate will be 1/9<sup>th</sup> of the base salary at the time of retirement per course. However, higher or lower rates may be negotiated as appropriate. The maximum allowed will be the equivalent of 1/9<sup>th</sup> of the current Professor VII rate. A Professor Emeritus may be recalled as a Professor Recall to teach one quarter or more. If recalled for only one quarter, the appointment should be on a 9/9 basis. If the appointment is for one full year it may be made on a 9/12 basis.

**II. Research appointments**

A Professor Emeritus who is recalled to serve in an extramurally funded research capacity may be appointed as a Research Professor. These are normally year-to-year appointments. Appointments may also be made for shorter periods of time. The terms and conditions of employment for a faculty member who is recalled for research parallel those of a faculty member who is recalled to teach. However, those holding the Research Professor title will have the right to direct Masters and Ph.D. theses without the need to petition the Graduate Council for permission. In the event that a Professor is recalled both to teach and for extramurally funded research, either the Research Professor title or the Professorial Recall title may be used. Requests for appointment as Research Professor may be sent directly from the employing unit to Academic Personnel. Paid appointments as Research Professor are made on an 11/12 rate. The appropriate annual rate at the time of retirement, or the current on-scale salary for the step attained at the time of retirement, whichever is greater, converted to an 11/12 basis (multiply the current 9/12 rate x 1.16).

**III. Administrative appointments**

Recall appointments will be approved for administrative service only in rare and unusual circumstances and may be approved only by the Executive Vice Chancellor after consultation with the Associate Vice Chancellor for Academic Personnel. Terms of such appointments will be individually set based on the nature of the service.

**IV. Approval authority**

| <u>Title</u>             | <u>Title Code</u>               | <u>Approval Authority</u> |
|--------------------------|---------------------------------|---------------------------|
| Professor Emeriti        | 1132                            |                           |
| Prof Recall              | 1106, 1146 (Engineering)        | Dean                      |
| Assoc Prof Recall        | 1206, 1246 (Engineering)        | Dean                      |
| Lecturer SOE Emeriti     | 1620                            |                           |
| Sr. Lecturer SOE Emeriti | 1621                            |                           |
| Lecturer SOE Recall      | 1665, 1666 (1/9 <sup>th</sup> ) | Dean                      |
| Sr. Lecturer SOE Recall  | 1660, 1662 (1/9 <sup>th</sup> ) | Dean                      |
| Research Professor       | 1707                            | Academic Personnel        |

II-1  
**UNIT 18, Non-Senate Faculty**  
**Lecturer and Supervisor of Teacher Education Series**  
(Revised 08/12 09/13)

**I. Definition**

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

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

**II. Ranks and Steps**

Lecturer and Senior Lecturer:

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

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

Supervisor of Teacher Education:

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

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

**III. Appointment Criteria**

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

**IV. Term of Appointment**

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

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

The employee must also be informed of the following:

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

- B. A reappointment which commences after six or more years of service within the same department at UCSB will be a Continuing Appointment (See Red Binder II-8 and II-10).
- C. All assignments must conform to the Workload Statement approved for the Department.

## **V. Compensation**

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

## **VI. Reappointment and Advancement**

- A. Reappointment that commences prior to completion of six years of service in the same department.  
  
A reappointment to one of these titles requires an assessment of the performance of the individual in accord with the department assessment procedures. Assessments are to be made on the basis of demonstrated competence in the field, demonstrated ability in teaching, academic responsibility, and other assigned duties. Reappointment to the Senior Lecturer title also requires service of exceptional value to the University. See Red Binder II-6 for procedural guidelines.
- B. Appointments and reappointments that commence after six or more years of service in the same department.  
  
See Red Binder II-8 for procedures to be followed with respect to resource allocations and Red Binder II-10 for procedures to be followed in the Personnel Review process.  
  
The department must submit annual workload requests for all Continuing Lecturers and Supervisors of Teacher Education to the Dean for approval. The statement must clearly identify any temporary or permanent increases in FTE. (see XI below)
- C. Department Chairpersons have responsibility for administering departmental consideration of personnel actions regarding positions with titles in this series. Departmental evaluations and recommendations regarding appointments and reappointments shall be made pursuant to departmental procedures and in accordance with the Memorandum of Understanding.

## **VII. Restrictions**

- A. Graduate level courses may be taught by appointees to these titles with the approval of the Graduate Council.
- B. Registered UC graduate students may not be appointed to these titles. Degree candidates who are not currently registered may be appointed as lecturer by exception. Such appointment requires prior approval of the Graduate Division.
- C. Recall appointments as Lecturer or Senior Lecturer may not exceed 43% time, alone or in

combination with other recall appointments. *Appointments are requested using the Academic Recall Appointment Form.* Recall appointments are to be entered into PPS using the Non-Senate Recall title (3802).

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

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

**IX. Approval Authority**

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



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

TO: Dean  
FROM: Department Chair  
RE: Appointment of \_\_\_\_\_

The department of \_\_\_\_\_ proposes the appointment of \_\_\_\_\_.

Title: \_\_\_\_\_

Quarters: \_\_\_\_\_ Academic Year: \_\_\_\_\_

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

Annual salary: \_\_\_\_\_ Current Year Cost: \_\_\_\_\_

Salary at Previous Appointment: \_\_\_\_\_

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

Date(s) of Affirmative Action Search(es): \_\_\_\_\_

Workload (by quarter; including total/quarter)

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

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

Description of non-instructional assignments, if any: \_\_\_\_\_

Reports to: \_\_\_\_\_

Qualifications and experience: \_\_\_\_\_

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

**For reappointments also include:**

When and by whom was the assessment conducted? \_\_\_\_\_

Evaluation of teaching: \_\_\_\_\_

Policy exception request and justification: \_\_\_\_\_

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

To: Dean

From: Department Chair

Re: Workload assignment for \_\_\_\_\_, Continuing Lecturer

The Department of \_\_\_\_\_ proposes the following workload for \_\_\_\_\_.

Quarters: \_\_\_\_\_ Academic Year: \_\_\_\_\_

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

Annual salary: \_\_\_\_\_ Current Year Cost: \_\_\_\_\_

Workload (by quarter, including total IWC/quarter)

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

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

Description of non-instructional assignments, if any: \_\_\_\_\_

Reports to: \_\_\_\_\_

## II-10

### **Excellence Reviews and Subsequent Merit Reviews**

(Revised 04/13 09/13)

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

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

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

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

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

Section D states:

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

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

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

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

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

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

### III. Review Procedure

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

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

### IV. Documentation of Performance

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

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

In addition, at least one of the following:

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

The individual under review may also provide:

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

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

## **V. Extramural Evaluations**

For the Excellence Review and for promotion to Senior Lecturer, in addition to the materials listed above, the department must submit five or more letters of recommendation. These letters may be of two types:

1. Letters from extramural referees with knowledge of the candidate's professional status and teaching record including former students and graduates who have achieved notable professional success since leaving the university, reviewers who can comment on the candidate's command of the subject and continuous growth in the subject field, or any appropriate referee with knowledge of the candidate's performance.
2. Letters from UCSB Senate faculty or Continuing Lecturers, external to the department, who have conducted peer review of the candidate's teaching. Peer evaluation may include such things as classroom visits or videotaping, commentary on course syllabi, reading assignments, and examinations. Qualitative descriptions and opinions are preferable to quantitative ratings or comparative rankings in peer evaluation of teaching. Such letters are subject to the same redaction and confidentiality policies as extramural letters.

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

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

## **VI. Other Evidence**

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

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

## **VII. Service**

It is expected that a lecturer will participate in activities that involve service to the department and the university. The department should make its expectations clear in this area and should take care to include this information in its review of a candidate. Such data might include records of attendance at departmental and other meetings; department assignments undertaken; accessibility to students (office hour commitments made and kept, independent studies programs directed, student activities sponsored and advised). Any such activities should be noted and evaluated; any such activities that are assigned as part of

the candidate's workload should be subjected to a more rigorous evaluation. While every faculty member is expected to have some activity in this area, it should be recognized that the opportunities for such service will vary from lecturer to lecturer. Exceptionally meritorious service should be carefully documented in preparing the recommendation.

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

### **VIII. Reviewing Agencies**

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

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

(Revised 04/13 09/13)

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 safeguard 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), **the appropriate box under #5 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?
- Does the file accurately indicate which course evaluations were done via hard-copy and which were done on-line?**
- 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?

II-28  
**VISITING PROFESSOR**  
(Revised 02/10 09/13)

**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.
3. Fits both of the above criteria and is appointed through Summer Session. Summer Session Visiting appointments are covered by separate policies and procedures (Office of Summer Sessions Summer Visiting Faculty Appointment and Review Policies and Procedures, June 12, 2001)

See APM 230 for System-wide policy on Visiting titles.

**II. Appointment Criteria**

A Visiting Professor who is on leave or retired from another institution, will normally be appointed at the same rank and step 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.

~~Use of the Visiting prefix with the Professorial series will require CAP review and final approval from the Associate Vice Chancellor for Academic Personnel if the proposed appointee is not on leave from, or retired from an academic or research position at another educational institution or has not held such a position in the past. Appointment of an individual who has never held a comparable academic or research position elsewhere is subject to CAP review and the approval of the Associate Vice Chancellor for Academic Personnel. Such appointment requests must meet the following criteria:~~

- ~~1. The appointee will have formal teaching responsibilities and will make identifiable contributions to the department through research and service.~~
2. ~~Appointment as Visiting Associate Professor or Visiting Professor will require proof of professional achievements equivalent to those of UCSB faculty of the same ranks.~~
3. ~~Appointments as Visiting Assistant Professor may be recommended for special fellowship programs for recent Ph.D.'s, such as the Mathematics Visiting Assistant Professor program or other national, UC, or local fellowship programs. Appointments also may be recommended to cover short-term faculty vacancies, such as those caused by retirements, leaves of absence, or temporary faculty administrative assignments. The appointee in such cases must participate in the research mission of the department and typically will contribute to the graduate program through teaching or related activities.~~

~~Appointments to Visiting Assistant Professor Programs in Mathematics or similar disciplines may be approved by the Dean but will be post audited by CAP.~~

**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.

In the case of Visiting Assistant Professor Programs in Mathematics or similar disciplines where curriculum-driven justification supports the need, the total period of consecutive service may be extended to three 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

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 Professor may not be paid below the Professor 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.

#### V. Appointment process

Requests for appointment in the Visiting Professor series must include a Departmental letter of recommendation, a UCSB Biography form and either a CV or Bio-bibliography. The Departmental letter must indicate the courses to be taught, the pay rate, the term of the appointment and information concerning the individual's current academic appointment.

For reappointment as a Visiting Professor, evaluation of past teaching is also necessary. ESCI scores and, if possible, student comments should be included with the request.

#### VI. Restrictions

- A. An appointee with a visiting title is not a member of the Academic Senate.
- B. Sabbatical leave credit may be accrued if the visiting position is immediately followed by employment as a faculty member in the regular ladder series (APM 740-11b).
- C. Neither tenure nor security of employment is acquired, although eligible service with certain visiting titles is credited under the University's eight-year limit (APM 133).

#### VII. Approval Authority

| <u>Action</u>   | <u>Authority</u>          |
|---|---------------------------|
| <b>Professor Series:</b> _____                            |                           |
| Appointments up to 6 quarters                             | Dean                      |
| Beyond 6 quarters   | Associate Vice Chancellor |
| <b>Appointments with no prior comparable appointment:</b> |                           |
| Initial appointment                                       | Associate Vice Chancellor |
| Reappointment up to 6 quarters                            | Dean                      |
| Beyond 6 quarters   | Associate Vice Chancellor |

II-31  
**SHORT TERM TEACHING**  
(Revised ~~10/11~~ 09/13)

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

**Guest Lecturers not employed by UC**

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

Foreign visitors must have the proper visa if any form of financial payment is to be made to them. A J1, HI and F1 visa, issued by this campus, will allow payment of payroll and non-payroll expenses. A B1 will allow the payment of travel and subsistence only (i.e., university per diem rate and airfare expenses). A B2 will not allow reimbursement or payment of any kind. Questions regarding these matters should be directed to the Office of International Students and Scholars.

**Guest Lecturers from another UC campus**

For payment to a UC faculty for visits of two weeks or less, see Red Binder VI-15, one-time payments.

**Guest ~~Lecturers~~ Lectures or other short term teaching by current UCSB employees**

*Employees currently working at UCSB at less than 100% may take on additional teaching responsibilities, subject to appropriate approval, as long as the total employment does not exceed 100% time. ~~Prior approval from Academic Personnel is required prior to any additional employment of a current UCSB employee.~~ For employees already employed at 100%, or in cases where the additional assignment would cause total employment to exceed 100%, departments are strongly urged to contact Academic Personnel prior to making a commitment or having the individual provide services. In cases where the employee holds a full time staff position, Human Resources must also be consulted. Employment beyond 100% will only be approved in rare and unusual circumstances. Individuals approved for appointment as a guest lecture or other short term teaching, such as emergency partial quarter replacements, will be appointed in an appropriate teaching title using the TFR dos code. Use of the TFR dos code will require approval of the Associate Vice Chancellor for Academic Personnel regardless of appointment title.*

III-1  
**OTHER ACADEMIC TITLES**

**General Information**

(Revised ~~08/12~~ 09/13)

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

Policies

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

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

Deadlines for submission of merit/promotion requests

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

Requests for advancement are due according to the following schedule:

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

Service limitations

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

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

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

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

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

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

Recall appointments in any temporary research title may not exceed 43% time, alone or in combination with other recall appointments. Appointments are requested using the Academic Recall Appointment Form. Recall appointments are to be entered into PPS using the Non-Senate Recall title (3802).

Titles not specifically discussed in the Red Binder may not be used without prior approval by the Academic

Personnel Office and will be subject to campus practice and APM policy.

~~III-21~~ ~~V-17~~  
**ADJUNCT PROFESSOR SERIES**  
(Revised ~~08/12~~ 09/13)

**I. Definition**

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

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

**II. Appointment Criteria**

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

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

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

**III. Term of Appointment**

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

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

The following policies apply to all without salary Adjunct appointments

**IV. Restrictions and review process**

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

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

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

- Up-to-date CV
- UCSB biography form
- Departmental recommendation letter that includes a summary of the candidate's qualifications, justification for the level being proposed and the specific research and/or teaching that will take place.

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

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

The following policies apply to all salaried Adjunct appointments

## **V. Ranks and Steps**

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

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

## **VI. Compensation**

- A. Initial appointments and reappointments in this series are conditional on programmatic need and the availability of funds, and each individual shall be notified to this effect at the time of appointment or reappointment.
- B. Individuals appointed to this series are compensated from the salary scales established for the Professorial ranks.
- C. At least 50% of any appointment must be funded from other than 19900 sources.
- D. Appointees to this series who hold academic year (9/12 basis) appointments are eligible to receive additional compensation for summer research efforts at the 1/9th rate.
- E. Off-scale salaries are allowed within the same limits and policies as ladder faculty off-scale salaries. (Red Binder I-8)

## **VII. Restrictions**

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

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

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

tenure, and are not eligible for sabbatical leave.

### VIII. Appointment and Advancement

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

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

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

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

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

### IX. Approval Authority

| <u>Action</u>   | <u>Authority</u>                                |
|---|---|
| 50% or more for more than one year:                     | Same as ladder rank faculty<br>(Red Binder I-1) |
| <i>Exceptions to State funding limits</i>               | <i>Chancellor</i>                               |
| <u>Less than 50% or less than one year or less:</u>     |   |
| Assistant level: Appointments<br>Reappointments, Merits | Dean  |
| Associate, Full reappointments and merits               | Dean  |
| Associate, Full Appointments<br>Promotions              | Associate Vice Chancellor                       |
| <i>Exceptions to State funding limits</i>               | <i>Associate Vice Chancellor</i>                |

III-7  
**DOCUMENTS TO BE SUBMITTED BY THE CHAIR**  
**RESEARCH APPOINTMENTS**  
(Revised ~~04/13~~ 09/13)

Research series appointments are to be submitted via the on-line case processing system.

*Research series reappointments are submitted using the Temporary Academic Appointment form letter.*

For all other series, submit the Temporary Academic Appointment form letter and the original of each supporting document-

I. **Department Letter (Research series)**

**Temporary Academic Appointment Form letter (all other temporary research series)**

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 the departmental letter, or section "N" of the form letter provide thorough justification for the level of appointment requested?
- Is the departmental letter or section "O" of the form letter 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 04/13 09/13)

Research series **appointments merits and promotions** are to be submitted via the on-line case processing system. For all other series, submit the Research Title Review form and the original of each document.

**I. Research Title Review Form 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 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 (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 publications are being included via a link in the bio-bib, has the link been verified?*
- 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-1  
STUDENT ACADEMIC TITLES  
General Information  
(Revised 04/13 09/13)

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

Limitations on Service

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

Limitations on Service

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

Pay Schedule

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

Benefits

- I. Graduate students with appointments in covered titles are eligible for leaves of absence from their employment as outlined in Article 17 of the contract. Requests for leave should be made in writing, addressed to the supervisor as soon as the need for the leave is known. Leaves are granted only with approval of the Departmental Chair.
- II. Eligible graduate students with appointments in covered titles may receive reimbursement of allowable child-care related expenses in accord with Article 4 of the contract. A child care reimbursement form and appropriate attachments must be submitted to the department. *Eligible graduate students in non-represented titles may receive reimbursement of allowable child-care expenses in accord with the Graduate Student Researcher reimbursement program.* Forms and additional information are available on *the Academic Personnel web site at [add link](#)* University "At Your Service" web site at: [http://atyourservice.ucop.edu/forms\\_pubs/index.html](http://atyourservice.ucop.edu/forms_pubs/index.html).

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

Academic Student Employee agreement

Appointees to the titles *of Teaching Assistant, Associate in \_\_, and Reader* ~~listed above~~ are covered by the Memorandum of Understanding between the University and the UAW. The full contract is available at <http://www.acadpers.ucsb.edu/>.

IV-3  
**ASSOCIATE IN \_\_\_\_\_**  
(title code 1506)  
(Revised 08/12)

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

**I. Definition**

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

**II. Appointment Criteria**

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

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

**III. Conditions of Employment**

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

**IV. Personnel Actions**

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

Department Letter of Recommendation

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

Teaching Evaluations

Graduate transcript

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

## V. Compensation

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

B. Salaries are subject to range adjustment.

## VI. Approval Authority

Action

Authority

All Actions

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

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

TO: Dean

VIA: Graduate Division

FROM: Chair

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

E-mail address of departmental contact:

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

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

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

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

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

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

## ASSIGNMENTS:

For each course, provide the following:

| Course | Max | Required<br>for | Normally |
|--------|-----|-----------------|----------|
|--------|-----|-----------------|----------|

Number    Title                    #Units            Hrs/Wk enrollment            majors?            taught by

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

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

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

If yes:

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

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

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

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

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

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

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

**APPOINTMENT CRITERIA:**

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

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

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

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

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

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

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

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

VI-17  
**OTHER ADDITIONAL COMPENSATION**  
(Revised ~~04/13~~ 09/13)

**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 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**

Reference: APM 662, appendix B-2

Faculty may also teach courses through University Extension. 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 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. 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 (1/9<sup>th</sup>) 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.

## **VI. Start-up and retention research support**

*Research support from state or gift funds, usually associated with start-up or retention packages, is to be paid using the Daily Factors 19-day chart consistent with the methodology for summer research payments from extramural sources (see Red Binder VI-14)*

## **VII. 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 1/12<sup>th</sup> rate as the distribution rate, and the DOS code of **AFR**.

## **VIII. 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.

IX- 20  
**PROCEDURE FOR NON-SENATE ACADEMIC  
APPOINTEES CORRECTIVE ACTION AND DISMISSAL**  
(Revised 10/10 09/13)

**I. Related Policies**

APM 150 provides the standards and procedures for corrective action or dismissal of non-Senate academic appointees. APM 140 describes the University policy regarding the grievance procedure for non-Senate academic appointees.

**II. Background**

Corrective action or dismissal may be instituted for good cause, including but not limited to misconduct, unsatisfactory work performance, or dereliction of duty. For non-Senate academic appointees who are subject to peer review for performance evaluation, demotion and dismissal shall involve the regular peer review process. Such peer review shall be advisory to the Dean of the school or college under whose jurisdiction the department or employing unit falls, the University Librarian for Library personnel, or the Dean of Director of University Extension for Extension employees. When the employing unit does not report to any of the above indicated officers, authority to take corrective action or to terminate rests with the Executive Vice Chancellor.

**III. Policy**

Non-Senate academic appointees are expected to conduct themselves in a manner consistent with the rules, regulations and policies of the University and to perform their assigned responsibilities.

**A. Definition**

1. Corrective action is a written warning, written censure, suspension without pay, or demotion for good cause, including but not limited to misconduct, unsatisfactory work performance, or dereliction of academic duty.
  - (a) Written warning is a communication that informs the appointee of the nature of the misconduct or deficiency, the method of correction, and the probable consequence of continued misconduct or deficiency.
  - (b) Written censure is a formal reprimand that conveys institutional rebuke.
  - (c) Suspension is debarment without pay from appointment responsibilities for a stated period of time.
  - (d) Demotion is reduction in rank, step, and/or salary.
2. Dismissal is the termination of employment initiated by the University prior to the ending date of appointment for good cause, including but not limited to serious misconduct, continued unsatisfactory work performance, or serious dereliction of academic duty.

**B. Application of Corrective Action and Dismissal Actions**

1. Prior to instituting corrective action (other than written warning) and dismissal, efforts to resolve the problem informally should have been attempted.
2. Investigatory Leave

An appointee may be placed on immediate investigatory leave with pay, without prior written notice, for the purpose of reviewing or investigating charges of misconduct or dereliction of duty, which, in the judgment of the Chancellor, Executive Vice Chancellor, or designee, require removing the appointee from University premises. Such investigatory leave must be confirmed in writing after it is instituted.

3. Written Notice of Intent

The University shall provide a written Notice of Intent to the appointee prior to initiating the actions of written censure, suspension without pay, demotion, or dismissal. The Notice shall state: (1) the intended action, including reasons for the action and the proposed effective date; (2) the basis of the charges, including copies of pertinent materials supporting the charge; (3) the appointee's right to respond either orally or in writing within fourteen (14) calendar days of the date of issuance of the written Notice of Intent; and (4) the person to whom the appointee should respond. No Notice of Intent is required for a written warning.

4. Response to Written Notice of Intent

The appointee who receives a written Notice of Intent shall be entitled to respond, either orally or in writing, within fourteen (14) calendar days of the date of issuance of the written Notice of Intent. The response, if any, normally shall be reviewed at a higher administrative level than the administrator proposing to institute the corrective action or dismissal.

5. Written Notice of Action

In the event the University determines to institute the corrective action or dismissal following the review of a timely response, if any, from the appointee, and within thirty (30) calendar days of the date of issuance of the written Notice of Intent, the University shall issue a written Notice of Action to the appointee of the corrective action or dismissal to be taken, giving the effective date. The Notice of Action also shall notify the appointee of the right to grieve the action under Section 140 of the Academic Personnel Manual. The Notice of Action may not include an action more severe than that described in the Notice of Intent.

6. Representation

An appointee may be self-represented or may be represented by another person at any stage of the corrective action or dismissal process.

7. Review of Proposed Corrective Action or Dismissal

a. Review shall normally be addressed by the appropriate referral officer to the appropriate adjudicating officer (see Appendix A for designation of referral and adjudicating officers).

i. The adjudicating officer shall appoint a three-member committee of University employees, one of whom shall be the Director of Equal Opportunity, and the remaining two shall be employees in the same or similar title and status as the affected individual. This committee shall investigate and advise the adjudicating officer of the appropriateness of the proposed action.

ii. After timely receipt of the committee's recommendation on the proposed action, the adjudicating officer shall advise the Chancellor, Dean, Dean of the Graduate Division (in cases involving student titles), the referral officer, and the individual's supervisor, if other than the referral officer, of any action to be taken.

When the sanction to be imposed involves dismissal, the adjudicating officer is required to give notice of no less than 30 days from the date of the written Notice of Intent.

iii. The individual shall have the right to appeal this action under APM 140.

8. Extension of Time

Prior to expiration of any time limit stated in this policy, extensions may be granted by the Chancellor, Executive Vice Chancellor, or appropriate designee.

## APPENDIX A

| TITLE, SERIES OR CLASS OF INDIVIDUAL CHARGED          | REFERRAL OFFICER   | ADJUDICATING OFFICER   |
|---|--|--|
| Professional Research Specialist<br>Project Scientist | Department Chair or Director who has authority over individual's appointment | Dean for Academic Departments, Vice Chancellor for Research for ORUs<br>Associate Vice Chancellor Academic Personnel |
| Librarians  | Head of Unit   | University Librarian   |
| <i>Assistant or Associate University Librarian</i>    | <i>University Librarian</i>  | <i>Executive Vice Chancellor</i>   |
| University Extension Personnel                        | Director of Division   | Associate Vice Chancellor who has jurisdiction over unit Academic Programs   |
| <i>Academic Coordinator</i>                           | <i>Department Chair or Director</i>  | <i>Associate Vice Chancellor Academic Personnel</i>  |
| <i>Graduate Student Researcher</i>                    | <i>Department Chair or Director</i>  | <i>Associate Vice Chancellor Academic Personnel</i>  |

IX-30  
**POLICY AND PROCEDURES ON LAYOFF AND INVOLUNTARY REDUCTION  
IN TIME FOR NON-SENATE ACADEMIC APPOINTEES**  
(Revised ~~10/11~~ 09/13)

I. Related Policies

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

II. Background

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

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

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

1. Members of the Academic Senate;
2. ~~Those appointees with an appointment with a specified ending date. The change of an ending date by the University to an earlier date constitutes a layoff.~~
3. ~~Student Academic Appointees;~~
4. ~~Those represented by an exclusive representative (Union);~~ *Employees covered by a Memorandum of Understanding (MOU).*

*The expiration of a term appointment as of the originally specified ending date does not constitute a layoff.*

B. Determination of Layoff and Involuntary Reduction in Time.

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

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

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

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

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

IV. Procedures

- A. Upon determining the need for a layoff, or an involuntary reduction in time, and the order in which it is to be accomplished, the Chair will submit a recommendation (Exhibit A), to the Associate Vice Chancellor

for Academic Personnel via the appropriate Dean or Director. The recommendation shall be submitted in duplicate using the form provided and shall include the following:

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

E. Written notice

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

F. Layoff Status.

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

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

Preference for re-employment shall be granted to:

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

#### G. Reemployment

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

#### H. Appeals

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

EXHIBIT A

LAYOFF AND INVOLUNTARY REDUCTION IN TIME

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

Lack of work \_\_\_\_\_

Lack of funds \_\_\_\_\_

NAME \_\_\_\_\_

TITLE \_\_\_\_\_

STEP \_\_\_\_\_

MONTHS OF SERVICE \_\_\_\_\_

ADMINISTRATIVE UNIT \_\_\_\_\_

FUNDING SOURCE(S) \_\_\_\_\_

Name

Account number

EFFECTIVE DATE OF ACTION \_\_\_\_\_

REASONS: \_\_\_\_\_

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

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

Name \_\_\_\_\_

Rank \_\_\_\_\_

Step \_\_\_\_\_

Months of Service \_\_\_\_\_

Reason not selected: \_\_\_\_\_

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

I certify that the above information is correct.

\_\_\_\_\_  
Principal Investigator                      Date

\_\_\_\_\_  
Department Chair/Unit Head                      Date

\_\_\_\_\_  
Dean/Director                      Date

APPROVED:

\_\_\_\_\_  
Director,  
Equal Opportunity                      Date

\_\_\_\_\_  
Vice Chancellor for Academic Personnel                      Date



ACADEMIC APPOINTEES NON-SENATE MEMBERS  
(FACULTY)

Adjunct Series

Assistant Adjunct Professor  
Associate Adjunct Professor  
Adjunct Professor

Visiting Titles

Visiting Assistant Professor  
Visiting Associate Professor  
Visiting Professor

ACADEMIC APPOINTEES NON-SENATE MEMBERS  
(NON-FACULTY)

\*Librarian Series

Assistant Librarian  
Associate Librarian  
Librarian  
Assistant University Librarian  
Associate University Librarian

Miscellaneous Titles

Academic Coordinator

UNEX Titles

Continuing Educator

Professional Research Series

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

Associate University Librarian

Assistant University Librarian

*Graduate Student Researcher*

Project Scientist Series

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

Specialist Series

Junior Specialist  
Assistant Specialist  
Associate Specialist  
Specialist

\*If represented by a Union, see applicable MOU for ~~layoff, etc.~~ *applicable* provisions.