

January 13, 2014

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 listed below 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/>

Summary of changes

- III-1 Reflect change in delegation of authority from Office of Research to Academic Personnel
- III-8 Reflect change in delegation of authority from Office of Research to Academic Personnel. Update policy regarding above scale salary policy to be consistent with Professorial above scale policy.
- III-12, 14, 16 Reflect change in delegation of authority from Office of Research to Academic Personnel. Add wording to clarify bio-bib preparation for appointees in Research, Project Scientist, and Specialist series.
- III-23 Reflect change in delegation of authority from Office of Research to Academic Personnel. Break out policy regarding without salary visitors to new policy, III-25
- III-25 New policy to implement APM- 430; Visiting Scholars and other Visitors. Visitor appointment letter will also be available as a new form.
- VI-21 Update of employment forms chart

III-1

OTHER ACADEMIC TITLES TEMPORARY RESEARCH APPOINTMENTS

General Information

(Revised ~~09/13~~ 01/14)

Titles in this section are to be used for individuals involved in research *and do not have formal teaching responsibilities* 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, *and* Project Scientist, ~~and Academic Coordinator~~ series will be effective July 1.

Requests for advancement ~~are due~~ *must be submitted to the Academic Personnel Office* 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 *for advancement eligibility purposes.*

Appointments or reappointments in the Project Scientist *and* 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~~ *Recall Non-Faculty Academic* 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-8
TYPES OF REVIEW
(Revised 10/10 01/14)

On-time merit advancement

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

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

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

Other reviews

I. **Accelerated actions**

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

II. **Decelerated actions**

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

III. **Promotion to the Associate level**

Professional Research Series:

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

Project Scientist and Specialist Series:

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

IV. **Promotion to Full**

Professional Research Series:

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

Project Scientist and Specialist Series:

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

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

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

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

Professional Research Series only:

VI. **Terminal Appointments**

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

VII. **Mandatory reviews**

Researchers at all levels must undergo a performance review at least once every five years. This review may not be deferred. Non-submission of materials by the candidate will not constitute automatic deferral in the case of a mandatory review. If a Researcher does not turn in materials by the departmental due date, the department will conduct the review based on the materials available in the department as of the due date.

VIII. **Merit to Researcher VI**

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

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

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

The guidelines for Senate Faculty increase to and above Scale (Red Binder I-43) apply to Researcher above scale actions.

A merit increase for a candidate already serving at an Above Scale salary level must be justified by new evidence of merit and distinction appropriate to this highest level. Continued good service is not an adequate justification. Intervals between such salary increases may be indefinite. Merit increases normally range between 5-7%, where 5% reflects new evidence of merit and distinction, and 7% is reserved for outstanding accomplishment. Cases for merit increases at the higher percentage must be justified by evidence of significant new achievement, such as the publication of a book, or significant recognition such as distinguished awards, prizes or elections. Only in the most exceptional cases, where there is strong and compelling evidence, will accelerated increases at intervals shorter than four years or merit increases above 7% be approved.

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

III-12
PROFESSIONAL RESEARCH SERIES
(Revised 04/13 01/14)

I. Definition

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

II. Ranks and Steps

- A. Assistant Research _____II – V (Steps V is considered a “special step”)
- B. Associate Research _____I – IV (Step IV is considered a “special step”)
- C. Research _____I –IX

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

III. Appointment and Advancement Criteria

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

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

IV. Term of Appointment

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

V. Compensation

- A. Individuals appointed to this series are compensated on the salary scales established for the Professional Research series on a fiscal year (11 months) basis. The Economics/ Engineering Professional Research salary scale will be used when either:
 - 1. The unit is an Engineering unit (departments and research units reporting to the Dean of Engineering) or the Department of Economics
or:
 - 2. The unit is multi or interdisciplinary and includes both engineering or economics and other disciplinary activity (for example: CNSI, ICB, MATP). In this case two additional criteria

- must be met: a) The individual's background and training is in engineering or economics, and
- b) The project with which the individual is associated is an engineering or economics project.

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

- B. Salaries are subject to range adjustment.
- C. Each source which provides compensation for service in this series must permit research.
- D. Off-scale salaries are allowed within the same limits and policies as ladder faculty off-scale salaries. (Red Binder I-8)

VI. Requests for Appointment, Reappointment, and Advancement

Appointment

Appointment cases are to be submitted via the on-line case processing system and using the checklist of documents to be submitted by the Chair for appointments (Red Binder III-7). Particular attention should be paid to assuring the Departmental letter provides justification demonstrating the equivalence of the requested position to the same level faculty position, and an analytical evaluation of the candidate and his or her accomplishments.

Reappointment

Reappointments are to be prepared using the **Temporary Academic Appointment Form Letter**. The timing of the reappointment will be based on the original start date of the appointment and/or the availability of funding.

Advancement: Merit and Promotion

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

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

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

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

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

Chair/Director Letters of Recommendation

The Chair/Director's letter of recommendation for appointment or advancement should include an evaluation of the candidate's record in all review areas (see III Appointment and Advancement criteria, above). The evaluation is expected to meet the standards set forth in APM 310 which prescribes that candidates for appointment or advancement in the Research series have research qualifications equivalent to those of the corresponding ladder faculty rank. Each unit should establish set procedures for evaluation of Research appointments and advancements and development of the letter of recommendation. While a full review completed by a departmental committee knowledgeable of the candidate's field is preferred, in

cases where this is not appropriate, a review done solely by the Chair, Director or P.I. is acceptable. If a committee is not formed, an explanation should be provided in the letter of recommendation. Red Binder I-35 provides additional guidance on developing the letter of recommendation.

Bio-Bibliography

It is the responsibility of each Researcher to maintain an up to date bio-bibliography (bio-bib). The bio-bib should contain information ending at the cut-off date established by the candidate's department. Information that falls beyond that date will not be considered in the review. Bio-bibs must follow the bio-bib template available in the Forms section of the Academic Personnel web-site, and the instructions in Red Binder I-27 excluding the Teaching section

External Evaluation

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

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

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

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

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

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

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

_____ is being considered for advancement to Researcher [specify step] in the (dept/unit). In the UC system there are 9 steps within the rank of Researcher. The normal period of service is three years in each of the first five steps. Service at Research, Step V, may be of indefinite duration. Advancement to Step VI will be granted on evidence of highly distinguished scholarship, highly meritorious service, and evidence of excellence in research, and in addition, great distinction recognized nationally or internationally, in research. [Sample wording for evaluation request: e.g., I would greatly appreciate your evaluation of _____'s work]

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

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

VII. Approval Authority

<u>Action</u>	<u>Authority</u>
Asst appts, re appts, merits	Vice Chancellor for Research
Assoc, Full appts	AVC, Academic Personnel
Assoc, Full, re appts, merits	Vice Chancellor for Research
Promotions	AVC, Academic Personnel
Merit to Researcher VI or to Above Scale	AVC, Academic Personnel
Use of Engineering scale in non Engineering unit	AVC, Academic Personnel
<i>All actions</i>	<i>Associate Vice Chancellor for Academic Personnel</i>

III-14
PROJECT SCIENTIST SERIES
(Revised ~~04/13~~ 01/14)

I. Definition

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

II. Ranks and Steps

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

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

III. Appointment and Advancement Criteria

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

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

University and public service are encouraged but not required.

IV. Term of Appointment

- A. Appointments or reappointments may be for up to two years at a time at the Assistant Project Scientist and Associate Project Scientist level and for up to three years at a time at the Project Scientist level if guaranteed funding is available.
- B. There are no limits on service at any level in this series.

V. Compensation

- A. A. Individuals appointed to this series are compensated on the salary scales established for the Project Scientist series on a fiscal year (11 months) basis. The Economics/Project Scientist salary scale will be used when either:
 - 1. The unit is an Engineering unit (departments and research units reporting to the Dean of Engineering) or the Department of Economics
or:
 - 2. The unit is multi or interdisciplinary and includes both engineering or economics and other disciplinary activity (for example: CNSI, ICB, MATP). In this case two additional criteria must be met: a) The individual’s background and training is in engineering or economics, and b) The project with which the individual is associated

is an engineering or economics project.

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

- B. Salaries are subject to range adjustment.
- C. Each source which provides compensation for service in this series must permit research.
- D. Off-scale salaries are allowed within the same limits and policies as ladder faculty off-scale salaries. (Red Binder I-8)

VI. Requests for Appointment and Advancement

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

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

Chair/Director Letters of Recommendation

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

Bio-Bibliography

It is the responsibility of each Project Scientist to maintain an up to date bio-bibliography (bio-bib). The bio-bib should contain information ending at the cut-off date established by the candidate's department. Information that falls beyond that date will not be considered in the review. Bio-bibs must follow the bio-bib template available in the Forms section of the Academic Personnel web-site, and the instructions in Red Binder I-27 excluding the Teaching section

External Evaluation

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

Appointment (or Promotion) to Associate Project Scientist/Project Scientist requires evaluation in the areas of: 1) Demonstrated significant, original, and creative contributions to a research or creative program or project, 2) Professional competence and activity.

VII. Approval Authority

Action

All actions

Authority

Vice Chancellor for Research

Associate Vice Chancellor for Academic Personnel

III-16
SPECIALIST SERIES
(Revised ~~04/13~~ 01/14)

I. Definition

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

II. Ranks and Steps

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

III. Appointment Criteria

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

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

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

IV. Term of Appointment

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

V. Compensation

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

V. Advancement

Appointment cases are to be prepared using the [Temporary Academic Research Appointment Form Letter](#) and the Research appointment checklist (Red Binder III-7). Particular attention should be paid to sections N and O, which require justification for the level of the appointment and analytical evaluation of the candidate and his or her accomplishments.

Advancement cases are to be prepared using the [Research Title Review Form](#) and the checklist of documents to be submitted by the chair for research reviews (Red Binder III-9). All advancement actions are based on the individual's achievements. Normal advancement will occur after one year at step at the

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

Chair/Director Letters of Recommendation

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

Bio-Bibliography

It is the responsibility of each Specialist to maintain an up to date bio-bibliography (bio-bib). The bio-bib should contain information ending at the cut-off date established by the candidate's department. Information that falls beyond that date will not be considered in the review. Bio-bibs must follow the bio-bib template available in the Forms section of the Academic Personnel web-site, and the instructions in Red Binder I-27 excluding the Teaching section

External Evaluation

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

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

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

VI. Approval Authority

Action

All actions

Authority

Vice Chancellor for Research
Associate Vice Chancellor for Academic Personnel

VISITING RESEARCHER AND PROJECT SCIENTIST APPOINTMENTS

(Revised 04/13 01/14)

I. Definition

The Visiting prefix is used to designate one who:

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

See APM 230 for System Wide policy on Visiting titles.

II. Appointment Criteria

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

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

III. Term of Appointment

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

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

IV. Compensation

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

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

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

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

V. Appointment process

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

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

VI. Restrictions

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

VII. Approval Authority

<u>Action</u>	<u>Authority</u>
All actions <i>Personnel</i>	Vice Chancellor for Research Associate Vice Chancellor for Academic

VIII. ~~With out Salary Visiting Research Form Letter~~

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

~~This letter will establish eligibility for library, parking and UCSBnetID based privileges. The Departmental Directory Editor should be given a copy of the letter in order to facilitate the UCSBnetID process.~~

~~Date~~

~~TO: Vice Chancellor for Research~~

~~FROM: Department Chair/Director~~

~~RE: Without Salary Academic Research Visitor~~

~~Name of visitor: _____~~

~~Phone: _____ e-mail: _____~~

~~Dates of visit: _____ (one year maximum)~~

~~Working title, if applicable: _____~~

~~Department/ORU: _____~~

~~Reason for visit: _____~~

~~_____~~

~~Space to be provided: _____~~

~~Sponsoring Faculty member: _____~~

~~Phone: _____ e-mail: _____~~

~~As appropriate, continue with: _____~~

~~_____~~

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

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

III-25
WITHOUT SALARY VISITORS
(01/14)

I. Definition

A person on leave from a non-UC academic appointment, other employment, or student enrollment at a non-UC institution or entity may be appointed as a Without Salary Visitor. Appointees to this title participate in short-term educational, research, or other academic projects under the supervision of an academic appointee.

II. Appointment Criteria

- A. Appointments may be made as:
- Visiting Scholar: Title Code 3299
 - Visitor (Graduate Student): Title Code 3730
 - Visitor (Undergraduate): Title Code 3731
- B. A Visiting Scholar must possess an appropriate terminal degree or equivalent experience. A visitor (Graduate Student) and Visitor (Undergraduate) must be enrolled in a degree granting program or equivalent at a non-UC institution of higher education. The appointment must serve an academic purpose for the unit in which the individual is appointed.
- C. Visitors doing work that fits the criteria of another academic title (i.e. Visiting Project Scientist, Visiting Researcher, etc.), should be appointed into that title on a without salary basis.

III. Terms of appointment

- A. Appointments may be made for up to one year and are self-terminating. Because appointments are intended to be short-term, reappointments should be rare.
- B. Service as a Visitor does not constitute employment status or student status at the University. Visitors are bound by all rules and policies of the University of California.

IV. Compensation

- A. Appointees in these series are not eligible for compensation via the payroll system.
- B. Visitors must be self-supporting, and may be asked to provide evidence, appropriate to the duration of the appointment, of adequate support from external sources.
- C. Visitors may be eligible for reimbursement of expenses as outlined in the Business and Finance Bulletin G-28 or for supplementary support in the form of a cost of living allowance.

V. Requests for appointment

Requests for appointment require a **Visitor appointment letter**, signed Patent Acknowledgement form, and an up to date UCSB Biography form.

VI. Approval authority

Action
All Actions

Authority
Department Chair or Director with post-audit by Academic Personnel

VI-21
SUMMARY OF REQUIRED PAYROLL FORMS FOR ACADEMIC EMPLOYEES
 (Revised 01/14)

	Enter into PPS	Loyalty Oath*	Patent Agreement**	I-9	W-4	UCSB Biography Form
PAID EMPLOYEES						
All titles	Yes	Yes	Yes	Yes	Yes	Yes
WITHOUT SALARY EMPLOYEES						
<u>Research titles:</u>						
Visiting Researcher, Visiting Project Scientist	Yes	Yes	Yes	No	No	Yes
Visiting Scholar/Student	Yes	No	Yes	No	No	Yes
<u>Instructional titles</u>						
Visiting Professor, Lecturer, Adjunct Professor	Yes	Yes	Yes	No	No	Yes
Short term, less than 2 weeks	No	No	No	No	No	No

*Non-citizens are exempt from signing the Loyalty Oath.

**A University Patent Acknowledgment must be signed even if patent agreement is active at home institution or place of employment.