

May 28, 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**

- I-4, I-35 Change in terminology from “time off the clock” to “extension of the tenure clock”
- I-46, I-48 Provide guidance regarding external letters solicited via UCRecruit
- I-56 Lecturer/Sr. Lecturer SOE was circulated in draft format but requires further revision and review. Not being released at this time
- I-70 Clarify use of Research Professor title
- II-1 Update Lecturer and STE merit policy to be consistent with new MOU
- II-31 Correct payment limit authority for honoraria
- III-8, III-12 Clarify wording regarding research series above scale actions
- III-14 Add wording regarding case deadlines and above scale actions for Project Scientist series
- III-16 Appointments in the Specialist series may be for normative time at step in each rank. Add above scale language.
- III-17, III-18 Modify process for recruitment supporting paperwork for Postdoctoral recruitments
- IV-10 Clarification of criteria for appointment as Graduate Student Researcher
- V-20 Professor of Practice working title; new policy (underwent campus review in September 2013)
- V-31 Summer Session Dean is not a Faculty Administrator position
- VI-19 Updated information on employment forms

- VII-1, VII-4, VII-5 Clarification of search processes and update of procedures to incorporate UCRecruit.
- VII-7 Updated required wording for advertisements

**ELIGIBILITY, DEFERRAL AND MANDATORY REVIEW**

(Revised 10/10 04/14)

**I. Service Credit**

Six months or more of service at one-half time or more in any one fiscal year normally count as one full year of service for merit eligibility. Less than six months of service at one-half time or more in any one fiscal year does not count. The normal period of service prescribed for each salary level does not preclude more rapid advance in cases of exceptional merit nor does it preclude less rapid advance. Service as an Assistant Professor (including time as an Acting or Visiting Assistant Professor) is limited to 8 years. Service at the Associate Professor and Professor levels is unlimited.

~~Time approved as "off the clock" should not be viewed as an extra year at rank, but rather as time excluded from consideration. Assistant Professors or Lecturers with Potential Security of Employment who have been approved for an extension of the tenure clock should not be expected to have produced more or performed at a higher level than faculty who have not extended the tenure clock. Faculty are not expected to produce any additional materials or publications during this time, and a lack of such should not be viewed negatively in any review process.~~ The file is to be evaluated without prejudice as if the work were done in the normal period of service.

**II. Regular Ranks, Steps, Normal Periods Of Service**

The Assistant Professor Rank contains steps I-VI, although steps I and VI are not used at UCSB. The Associate Professor Rank contains steps I-V, although step V is not used at UCSB. 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 Professor V and Associate Professor IV (Red Binder I-37). The Professor rank contains steps I- IX as well as Above Scale. 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 or Above Scale. 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. Advancement Effective Dates**

The Office of Academic Personnel annually publishes promotion and merit eligibility lists for each department.

All merits and promotions will be effective July 1. It is possible, based on availability of funding, that payment for merits and promotions may be delayed. If this occurs, payment will be made retroactively at the time funds become available.

**IV. Mandatory Five-Year Reviews**

Ladder-rank faculty must undergo a performance review at least once every five years, including an evaluation of the faculty member's record in all review areas. This review may not be deferred. Most UCSB faculty are reviewed for merit advance every two to four years, depending on rank and step. Faculty eligible for merit advancement or promotion may request deferral of review, so long as the time period since their last review is not more than four years. Non-submission of materials by a faculty member will not constitute automatic deferral. If a faculty member does not turn in materials by the departmental due date, the department will conduct the mandatory review based on the materials available in the department as of the due date.

Faculty holding 100% administrative positions in the SMG program or covered by APM 240 or APM 246 are exempt from mandatory five-year reviews since they face a separate review policy.

**V. Deferral Of Review**

Deferral of non-mandatory reviews will be automatic if a tenured faculty member does not submit materials by the departmental due date, and no case is forwarded by the department by the established submission deadline.

Deferral requests made by Assistant Professors must be accompanied by a letter of recommendation from the Chairperson that explains the reasons for the deferral and describes the progress that will be expected prior to the

next review. Review for promotion to tenure will normally take place by the end of the 6<sup>th</sup> year of service but may be deferred until the 7<sup>th</sup> year. The faculty member's deferral request along with the Chairperson's letter of recommendation must be submitted via the on-line case processing system.

Deferral beyond the 7<sup>th</sup> year will not be considered. The Formal Appraisal review may not be deferred.

**HOW TO WRITE A DEPARTMENTAL LETTER****Appointments and Advancements**

(Revised 09/13 04/14)

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 extension of the tenure 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. 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.

**GUIDELINES FOR LETTERS OF EVALUATION**(Revised ~~09/13~~ 04/14)**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 (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: name, position/title, institution, field of expertise, past collaborative relationship with the candidate, and any past reviews for which the letter writer also contributed a letter. 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. The list 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.

*Letters for appointment cases that are received via UCRecruit should be noted as such on the list of evaluators. The solicitation letter and confidentiality statement are generated automatically by UCRecruit and do not have to be included in the case.*

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 ~~09/13~~ 04/14)

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

*For appointment cases, indicate if letters were submitted via UCRecruit*

- 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

Mary Johnson, UCLA

CANDIDATE REQUEST TO NOT CONTACT

**PROCEDURE FOR RECALL OF SENATE FACULTY**(Revised ~~11/13~~ 04/14)

A Senate Faculty member who has retired may be recalled to active teaching duty for one quarter or more. Retired 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 recall appointments are made using the [Academic Recall Appointment Form](#).

**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 retired Senate Faculty member may be recalled 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. Appointments will be entered into PPS using the Recall Teaching title.

**II. Research appointments**

A retired Senate Faculty member 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 Senate Faculty member is recalled both to teach and for extramurally funded research *in the same department for the same time period*, the Research Professor title will 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). Appointments will be entered into PPS using the Recall Faculty title.

**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. Appointments will be entered into PPS using the Recall Faculty title.

**IV. Approval authority**

<u>Title</u>	<u>Title Code</u>	<u>Approval Authority</u>
Professor Emeriti	1132	
Recall: teaching	1700	Dean
Recall: research	1702	Associate Vice Chancellor
Recall: teaching and research	1702	Associate Vice Chancellor
Recall: administrative	1702	Executive Vice Chancellor

II-1  
**UNIT 18, Non-Senate Faculty**  
**Lecturer and Supervisor of Teacher Education Series**  
(Revised ~~09/13~~ 04/14)

**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. *During the first 18 quarters of service*, individuals appointed *as Lecturer or Senior Lecturer* ~~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. *Appointees to the Supervisor of Teacher Education title are compensated at a rate from the Supervisor of Teacher Education pay scale.*
- C. At the time of appointment to a 10<sup>th</sup> quarter of service within the same department, a pre-six lecturer *or Supervisor of Teacher Education* 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~~, *six percent*. *A Continuing Supervisor of Teacher Education will receive a merit of at least two-steps if found excellent.*
- 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-day 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>
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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>
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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: \_\_\_\_\_

**SHORT TERM TEACHING**(Revised ~~09/13~~ 04/14)

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 \$24,000 or less; honoraria of ~~\$1,000-5,000~~ up to \$4,000 must be approved by the appropriate Dean or Vice Chancellor. Honoraria exceeding \$45,000 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 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. 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-8  
**TYPES OF REVIEW**  
(Revised 04/14)

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 Associate Vice Chancellor for Academic Personnel has approval authority for all advancement actions.

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. Departments should review candidates performing at a superior level in advance of their normal eligibility for merit increase or promotion.

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.

~~IX.~~ VI. **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 *the highest step within the full level rank of the series* 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. *Criteria for Above Scale advancements for Project Scientists and Specialists shall be consistent with the criteria established for each series.*

Professional Research Series only:

VII. **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.

VIII. **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.

IX. **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.

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

**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 *and within Above Scale*. 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 **steps I-VIII, and after 4 years at step IX or within Above Scale**. Any advancement requested prior to that time will be considered an acceleration and must be justified as such. Merit increases are based on the academic record since the time of last review while promotions, **merit to Researcher VI and merit to Researcher Above Scale** are based on the career academic record.

All merits and promotions will be effective July 1. Completed cases must be submitted to the 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**

Action

Authority

All actions

Associate Vice Chancellor for Academic Personnel

III-14  
**PROJECT SCIENTIST SERIES**  
(Revised 0104/14)

**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 *and within Above Scale. 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. 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 *steps I-VIII and after 4 years at step IX or within Above Scale*. Any advancement requested prior to that time will be considered an acceleration and must be justified as such. Merit increases are based on the academic record since the time of last review while promotions are based on the career academic record.

*All merits and promotions will be effective July 1. Completed cases must be submitted to the Academic Personnel Office by April 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 Project Scientist does not submit material by the departmental due date and no case is forwarded by the department.*

### 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 *either externally or internally*, 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

Authority

All actions

Associate Vice Chancellor for Academic Personnel

III-16  
**SPECIALIST SERIES**  
(Revised 04/04/14)

**I. Definition**

The Specialist series is used for academic appointees who **assist in research** *engage* in specialized **research 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**

**Appointees to the Specialist series** **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 **at the Junior Specialist Rank, for up to two years at a time at the Assistant and Associate Specialist rank, and for up to three years at a time at the full Specialist rank.**

**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.

**VI. 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 at the Full Specialist level, *steps I-IV, and after four years at step V and within Above Scale*. Any advancement requested prior to that time will be considered an acceleration and must be justified as such. Merits are based on the academic record since the time of last review while promotions are based on the career academic record.

### **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, *or advancement to Above Scale* 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.

## **VII. Approval Authority**

### Action

All actions

### Authority

Associate Vice Chancellor for Academic Personnel

III-17  
**POSTDOCTORAL SCHOLARS**  
(Revised 04/13 14)

**I. Definition**

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

**II. Appointment Criteria**

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

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

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

**III. Appointment Process**

Appointments and reappointments require submission of the completed and signed [Postdoctoral Scholars Appointment Form](#)

In addition, the following documents must be submitted:

Initial Appointments

1. Attachment A: Recruitment, Search and Hiring information
2. UCSB Biography form
3. An up to date curriculum vitae
4. Academic Recruitment Packet- required if an open search was conducted

Reappointments

1. Annual evaluation form

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

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

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

#### IV. Term of Appointment

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

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

#### V. Compensation

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

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

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

#### VI. Leaves

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

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

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

## **VII. Reviews and evaluations**

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

## **VI. Layoff**

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

## **VII. Discipline and Dismissal**

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

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

## **VIII. Approval Authority**

### Action

All actions

### Authority

Dean, Graduate Division

III-18  
**INSTRUCTIONS FOR COMPLETION OF THE  
POSTDOCTORAL SCHOLARS APPOINTMENT PROCESS**  
(Revised 04/13 14)

Form is to be used for appointment as:

Postdoctoral Scholar-Employee (3252): Payment made via the University payroll system, appointment in PPS with salary.

Postdoctoral Scholar-Fellow (3253): Payment made through a University fellowship account, according to the requirements of the fellowship; appointment in PPS may be with salary or without salary (i.e., funds are paid as a stipend) depending on the fund source.

Postdoctoral Scholar-Paid Direct (3254): Payment made directly by the granting agency to the Postdoctoral Scholar; appoint without salary in PPS.

Checklist for submission of the hire packet:

- Complete [Postdoctoral Scholars Appointment Form](#). The form must be signed and dated by the Department Chair/Unit Director.
  
- For initial new hires also include the following additional paperwork:
  1. UCSB Biography form, signed and dated by the Postdoctoral Scholar
  2. An up to date CV
  3. ~~Attachment A: Recruitment, Search and Hiring information. A copy of this form must also be sent to the Office of Equal Opportunity, Phelps Hall, room 3217 (A), mail code 2060.~~  
*Academic Recruitment Packet- required if an open search was conducted*
  
- For reappointments beyond year one also include:
  1. A copy of the annual evaluation
  
- Maintain copy of all paperwork for the departmental file.
  
- Send original packet to: Postdoctoral Scholar Coordinator  
Graduate Division  
3117 Cheadle Hall  
MC 2070
  
- The hiring department will be notified via e-mail when all necessary paperwork has been reviewed and the appointment has been approved. The Graduate Division will provide a copy of the appointment form to the Benefits Office.
  
- The hiring department sends the notice of appointment to the Postdoctoral Scholar.
  
- Once the Postdoctoral Scholar has returned the signed notice of appointment, the appointment may be entered into PPS.
  
- A copy of the signed appointment letter is forwarded to the Graduate Division.

IV- 10  
**GRADUATE STUDENT RESEARCHER**  
(Revised 04/13 14)

**I. Definition**

A Graduate Student Researcher is a registered UC graduate student who *performs research related to the student's degree program in an academic department or research unit under the direction of a faculty member or Principal Investigator.* ~~assists faculty members with scholarly research.~~ Graduate Student Researchers are selected for high achievement and promise as creative scholars; they may collaborate in the publication of research results as determined by supervising faculty members. Graduate Student Researchers may not be assigned teaching, administrative or general assistance duties.

**II. Appointment Criteria**

*Appointment to the Graduate Student Researcher title requires the following:*

- 1. The appointee is a registered UC graduate student.*
- 2. The work performed may contribute to the educational objectives of the student; and/or*
- 3. The student functions as an active collaborator and/or fundamental contributor to the intellectual content of the research.*

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

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

The appointee to this title must hold a BA/BS degree, must be a full-time registered graduate student, and must have a grade point average of 3.0 or above.

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

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

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

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

**III. Term of Appointment**



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

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

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

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

#### **IV. Process for Appointment**

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

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

#### **V. Approval Authority**

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

**V-20**  
**PROFESSOR OF PRACTICE**  
(04/14)

**I. Definition**

Appointees in the Professor of Practice series are distinguished professionals, either practicing or retired. A few may have traditional academic backgrounds, but most do not.

Professors of Practice help promote the integration of academic scholarship with practical experience. They provide faculty, undergraduate students, and graduate students with an understanding of the practical applications of a particular field of study. Professors of Practice teach courses, advise students, and collaborate in areas directly related to their expertise and experience.

Appointment may be made as Professor of Practice or Visiting Professor of Practice. The underlying title of Adjunct Professor will be used for payroll purposes.

**II. Appointment and advancement criteria**

Evaluation of the candidate for appointment or advancement in this series shall take into account the nature of the duties and responsibilities and shall adjust accordingly as to the emphasis placed on each of the following four criteria:

1. Professional competence and activity

For appointments, departments must identify the candidate's leadership in, and major contributions to, the field in question as well as document what credentials from practice he or she will bring to bear in teaching, research, and service. At the time of review, the department must demonstrate the appointee's continued record of exemplary professional practice and leadership in the field.

2. Teaching contributions

Professors of practice will design and teach undergraduate and graduate courses based on their expertise. Appointees are expected to teach primarily in professional programs at the graduate level. Instruction at the undergraduate level is permissible when an appointee's expertise warrants such an assignment, but is not required or normally expected.

3. Research contributions

Candidates in this series will have extensive practical experience that contributes to the research and teaching mission of the University. Appointees must have a well-established, evidence-based reputation for superior accomplishments in their fields. This may be evidenced by published works or presentations disseminated outside the scope of traditional scholarly journals and conferences, but otherwise subject to the same standards of quality and impact that govern other research contributions within the University.

4. Service contributions

Appointees, to the degree practicable, must bring their career experience to bear in university service. Such service activities should be related to the candidate's professional expertise and achievements.

### **III. Terms of service**

1. Faculty in the Professor of Practice series may serve full time or part time, and with or without salary.
2. Salaried Professors of Practice may be appointed up to 100% time, but are normally appointed at 50% time or less. If appointed at 100% time, the appointee's full professional commitment must be to the University.
3. Appointments will be made at the Professor rank, steps I through IX. Appointments may also be Above Scale. The normal period of service at steps I-IX is 3 years. Service at step IX or above scale is normally 4 years. Eligibility for normal advancement occurs after the normal time of service at each step.
4. An appointment or reappointment as Professor of Practice may be for a period not to exceed three years, normally ending on the third June 30 following the date of appointment or reappointment. Appointment or reappointment may be for a shorter duration.
5. Visiting Professors of Practice may serve a maximum of two consecutive years and may not be reappointed.
6. Appointment or reappointment in the Professor of Practice series must have a specified ending date.

### **IV. Compensation**

1. The salary paid to a Professor of Practice will be at a negotiated annual rate. It will take into account but not necessarily be made equivalent to, the appointee's professional income.
2. The departmental recommendation letter must justify the salary level recommended.
3. The minimum pay level for the Professor of Practice series is no less than that of Professor, Step I. Step and salary will be based on the Professorial pay scale. Off-scale salaries are permissible to the same extent as for ladder-rank faculty.
4. At least one-half (50%) of any appointment in the Professor of Practice series must be supported by non-state funds.

### **V. Restrictions and Conditions of Employment**

1. This series does not accord tenure or security of employment.
2. This series does not convey membership in the Academic Senate.
3. Appointees in this series are subject to APM 137, Non-Senate Academic Appointees/Term Appointment.
4. Appointees in this series are not eligible for sabbatical leave, but are eligible for other types of leave with pay in accordance with APM and campus policies

5. Salaried Professors of Practice are subject to the restrictions set forth in APM 025, Conflict of Commitment and Outside Activities of Faculty Members.

**VI. Appointment and advancement processes**

1. Paid appointments that exceed one year will be considered the equivalent of ladder-rank faculty appointments for purposes of appointment and advancement. 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.
2. All advancement actions are based on the individual’s achievements. Merit increases are based on the academic record since the time of last review. Any advancement requested prior to the normative time at step will be considered an acceleration and must be justified as such.
3. 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.
4. Deferral will be automatic if a Professor of Practice 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.
5. Appointees in the Professor of Practice 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.
6. External letters of evaluation will be required in cases of: appointment as Professor of Practice, merit to Professor of Practice, Step VI and merit to Professor of Practice Above Scale. The policies related to solicitation of external evaluation for ladder faculty must be followed (Red Binder I-46 to I-50).
7. Professional activity, teaching, and creative contributions may differ from standard ladder-rank professorial activities, and can also be judged on the basis of professional competence, intellectual contribution, originality, and the total value of the appointee’s engagement with the department. Evaluation of the candidate with respect to these criteria should take into account the nature of the University assignment of duties and responsibilities.

**VII. Approval Authority**

Action

Authority

All actions

Associate Vice Chancellor for Academic Personnel

**FACULTY ADMINISTRATORS LESS THAN 100% TIME**(Revised ~~10/11~~ 04/14)

The system-wide policy for Faculty Administrators who are appointed at less than full time is set forth in Academic Personnel Manual (APM) 241. The system-wide policy for Department Chairs is set forth in Academic Personnel Manual (APM) 245. At UCSB, the application of these policies is outlined in the following:

**I. Definition**

A faculty member who is appointed to assume administrative responsibility in addition to, or in partial replacement of his or her faculty responsibilities is considered a Faculty Administrator at less than 100% time. Normal scholarly activity is expected to continue at a proportionate level that would allow for normal progression in the faculty member's academic series. Faculty may be appointed to less than 100% time administrative positions into the following titles:

- Associate Vice Chancellor, Associate Dean
- Department Chair, Department Vice Chair
- Director, Associate Director
- Faculty Advisor
- Dean of ~~Summer Session or~~ Extended Learning
- Interim or Acting in any of the above

**II. Terms of service**

Faculty Administrator appointments at less than 100% time may be for a period of time up to five years, subject to reappointment. Appointment as Acting or Interim will normally be for not more than a one year period, subject to reappointment.

The Executive Vice Chancellor shall conduct a five-year review of each less than 100% time Faculty Administrator to determine if reappointment to another term is warranted. The administrative review process is separate and distinct from the academic merit process.

Appointees to the titles covered by this policy are at will and the individual serves at the discretion of the Chancellor. Termination of an administrative appointment does not affect the underlying faculty appointment.

**III. Salary administration****A. Establishment of salary:**

Less than 100% time Faculty Administrators will normally be compensated with stipends. Stipends are not subject to general range adjustments. Stipend rates will be determined based on the scope of the responsibilities of the position. Stipend will be paid using the following title codes:

- 0803 Associate Vice Chancellor
- 1010 Associate Dean
- 1096 Department Chair
- 1094 Department Vice Chair
- 0900 Director
- 0910 Associate Director
- 0812 Faculty Advisor
- 1040 Dean-Extended Learning
- 1099 Interim or Acting in any of the above.
- 1099 Other administrative service when approved by the Executive Vice Chancellor

**B. Additional Compensation:**

Faculty Administrators at less than 100% time may earn summer additional compensation, not to exceed 3/9ths, exclusive of stipends.

C. Faculty Administrators are limited to one administrative stipend at any given time. Exceptions may only be approved by the Executive Vice Chancellor and will occur only in rare and unusual circumstances.

D. Periods of leave:

Administrative stipends will not be paid during periods of sabbatical leave or other extended leaves of absence. If necessary, an acting administrator may be appointed during the term of the leave. In some cases administrative service may be substituted for the teaching requirement of a sabbatical leave in residence (Red Binder VI-2.)

#### **IV. Appointment process**

The Executive Vice Chancellor has authority for all appointments into Faculty Administrator positions at less than 100% time. Appointment and reappointment requests are to be addressed to the Executive Vice Chancellor, via the appropriate control point (e.g. Dean, Vice Chancellor) for comment and recommendation.

##### Department Chairs

University policy specifies that faculty participate in the selection of Chairs of departments (APM-015, I 4 (d)). At UCSB this consultation is carried out by the Dean prior to his or her recommendation to the Executive Vice Chancellor and the Chancellor.

As part of this consultation, in the event of a vacancy or anticipated vacancy in the Chair of any department, the Dean will officially inform the department of the circumstances and request that it determine whether or not it wishes to conduct a departmental vote. The department may conduct such a vote in any manner that it deems proper, provided that it does not abrogate any faculty member's right to express a private position on the matter directly to the Dean or the Vice Chancellor, should any member wish to do so. The Dean and Vice Chancellor will duly consider the results of any such vote and any such private communication in determining their recommendations on the appointment of the new Chairperson.

It is customary University practice that most Departmental Chairs serve terms of from three to five years. The replacement of a Chair before the completion of this normal term can be initiated by the Chancellor, the Executive Vice Chancellor, the Dean or the department. If initiated by the department, a recommendation will be forwarded to the Dean requesting that a change be considered. If initiated by the Chancellor, EVC, or the Dean, wide and timely consultation with the tenured faculty of the department will take place prior to a decision.

##### Directors

Appointments as Director of an Organized Research Unit (ORU) or of a Multi-campus Research Unit (MRU) may require consultation with the Advisory Committee of the unit, in accord with APM 241-24. Requests are to be forwarded via the Vice Chancellor for Research to the Executive Vice Chancellor.

#### **V. Duties of the Department Chair**

The Chair of a Department of instruction and research is its leader and administrative head. The duties of the Chair are as outlined in APM 245, appendix A:

<http://www.ucop.edu/acadadv/acadpers/apm/apm-245.pdf>

In addition, the Chairpersons is expected to participate in and assist in carrying out the policies and administrative decisions required for implementation of labor agreements covering academic employees, including Non-Senate Faculty, Graduate Student Employees and Postdoctoral Scholars.

**PAYROLL EMPLOYMENT FORMS**

(Revised 04/13 14)

Departments and Organized Research Units have the responsibility of preparing all payroll employment forms for new employees. The chart on VI- 21 summarizes the forms necessary for each type of new hire. All new hire forms are available on-line via the Payroll Office web site and once completed should be forwarded to the Payroll Office. The information below provides special guidance for academic employees.

Oath of Allegiance and Patent Acknowledgement

Persons who are entered into the payroll system and sign the Loyalty Oath are officially considered employees and thus are covered by the University's worker's compensation Insurance. An individual who will perform academic service for the All those who are on campus for more than 2 two weeks must be appointed to an appropriate academic title, entered into the payroll system and must sign the Loyalty Oath of Allegiance (except aliens non-US citizens) and Patent Acknowledgment. Both paid and without salary employees are required to sign the Patent Acknowledgement. Forms must be signed on or before the first date of employment. For 9/12 employees the forms must be signed on or before the first day of service for the quarter of initial employment.

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

Employment Eligibility Form (I-9)

Each new employee must show evidence that they are eligible to be employed in the United States. It is the Department's responsibility to determine the status of employees. The I-9 form should normally must be completed on or before the first day of employment actual work. In no case may the form be signed more than three days after the first date of employment. For 9/12 employees the form must be completed on or before the first day of service for the quarter of initial employment. Additional information regarding the I-9 verification process is available via the Questions concerning visa and citizenship status should be directed to the Office of International Students and Scholars web site. at extension 2354.

UCSB Biography form

The UCSB biography form provides the department with basic information regarding the employee at the time of initial appointment. The form is available via the Academic Personnel web site.

**VISITOR LETTER FOR WITHOUT SALARY RESEARCH APPOINTMENTS**

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

VII-1  
**POLICIES ON OPEN RECRUITMENT FOR ACADEMIC APPOINTMENTS**  
(Revised 07/1304/14)

University of California Affirmative Action Guidelines for Recruitment and Retention of Faculty, Office of the President, Academic Advancement, January 2, 2002. <http://policy.ucop.edu/doc/4000376/NondiscrimAffirmAct>

**I. Titles Covered by Open Recruitment Policies**

Academic titles that are covered by this policy included, but not limited to the following series:

- Professor, Associate Professor, Assistant Professor (including Acting)
- Lecturers and Senior Lecturers with Security of Employment or Potential Security of Employment
- Academic Coordinator
- Librarian and University Librarian
- Non-Senate Faculty (Lecturers and others) covered by the Unit 18 MOU
- Continuing Educator--University Extension
- Professional Research
- Project Scientist
- Specialist

**II. Recruitment types and requirements**

As appropriate, a Department will recruit both within and outside the workforce to obtain diverse pools of qualified applicants.

External Recruitments are open to all applicants and are listed in various off-campus publications and the Job Bulletin. Typically, external recruitments generate the largest and most diverse applicant pools consistent with the campus commitment to equal opportunity and diversity.

In some unique situations, internal recruitment may be utilized so long as it is consistent with equal employment and affirmative action objectives and results in a diverse pool of qualified applicants. Internal recruitment requests require consultation, prior to the being of the recruitment, with the Office of Equal Opportunity & Sexual Harassment / Title IX Compliance.

Recruitments may be conducted in the following ways:

Single Hire—a **one-time** recruitment effort in which one applicant is hired. A single-hire recruitment may be advertised for the duration of the recruitment, usually up to one to two years.

Multi Hire—a **one-time** recruitment effort in which multiple applicants are hired. A multi-hire recruitment may be advertised for the duration of the recruitment, usually up to one to two years.

Pooled Recruitment—a long-standing recruitment effort in order to fill single or multiple positions at various times. Pooled recruitments may be advertised for no longer than one year. All pooled recruitment advertisements must be terminated on October 31, annually. If pooled recruitments need to be renewed, the department will need to complete the procedures outlined in the Policies on Open Recruitments for Academic Appointments. New advertisements may begin after November 1 of each year. This is to ensure compliance with federal data reporting requirements.

**III. Open Recruitment Requirements:**

**A. Non Unit 18 and Non-Senate Academic Titles**

An open recruitment is required when the academic appointment:

1. reaches at least 50% of full time and
2. is for more than one academic or calendar year.



A new open recruitment is not required for reappointment without a break in service to the same position by the same individual.

Open recruitment is required for a temporary position where there is reasonable expectation of reappointment with the total consecutive appointments meeting the above conditions.

#### **B. Unit 18 Academic Titles**

An open recruitment is required when a temporary academic appointment in a Unit 18 title may extend beyond a third quarter in the same department, regardless of the percent of time or year of reappointment.

#### **C. Senate Titles**

An open recruitment is required for all Academic Senate titles.

### **IV. Exemptions from Open Recruitment Policies**

- A. Appointment to temporary academic administrator positions by individuals already holding an academic appointment
- B. Recall appointments
- C. Visiting titles (Professor, Researcher, or Project Scientist series)
- D. Appointees within Unit 18, who have previously undergone open recruitment in the same department for a Unit 18 position.
- E. Positions requiring student status, e.g. teaching assistant, graduate student researchers.
- F. The proposed appointee is the principal investigator or co-principal investigator of a grant/contract or has been named in the grant/contract for a specific task. Supporting documentation must be available in the departmental file.
- G. Without salary appointments.
- H. Postdoctoral Scholar appointments.

*Although open recruitment is not required in the above situations, a department may choose to conduct a search. When a search is conducted, all appropriate policies and procedures must be followed.*

### **V. Exceptions to Open Recruitment Policies**

An open recruitment, available to all qualified applicants, is a preferred hiring mechanism since it provides substantial assurance of the quality of the individual offered a position. However, special circumstances may on occasion justify an exception to open recruitment.

#### **A. Non-Senate Titles**

1. Unexpected circumstances resulting in insufficient time to recruit: ( e.g., unexpected illness, leave of absence of faculty)
2. Spousal or Domestic Partner Hire—the hire of a spouse or domestic partner in order to initially hire or retain a Senate faculty member
3. Unique Position—the need to fill a unique teaching assignment or research project in which the candidate, and no other, possesses the skills, knowledge and abilities, making him or her essential to its success

To request an exception to open recruitment, the department prepares an Exception to Open Recruitment Request memo. The request should clearly:

- State which category of exception to open recruitment is being requested;
- describe the reason for the request;
- indicate the intended duration of the exception; and
- explain how this hire will impact Equal Opportunity & Affirmative Action goals (please refer to the availability figures and placement goals for the positions).

The request is submitted to the OEOSH/TC for review.

If the recommendation from the Director of OEOSH/TC is for approval of the exception, the signed request will be returned to the department for inclusion with the hiring paperwork. The administrator with authority for the appointment will also have authority for the final approval of the exception request.

If the recommendation from the Director of OEOSH/TC is for denial of the exception, the request will be forwarded on to the administrator with final approval authority for consideration, prior to the submission of the appointment packet.

### **B. Senate Faculty**

1. Spousal or Domestic Partner Hire—the hire of a spouse or domestic partner in order to initially hire or retain a Senate faculty member
2. Unanticipated opportunities- an individual whose unique qualifications and outstanding promise or accomplishment will make an extraordinary contribution to the campus' goals of excellence and diversity. Such hires should normally be part of an open recruitment. However, in those instances when an FTE has not been approved to fill or an open search has not taken place, departments may request an exception to open recruitment.

The departmental letter must include:

1. Which category of exception to open recruitment is being requested.
2. The department vote on the request for an exception to open
3. A report of the departmental discussion of three major issues: 1) the candidate's qualifications; 2) the candidate's programmatic fit within the departmental academic plans; and 3) the source of the FTE and the impact of the appointment on the departmental FTE plan
4. Discussion of how this hire will impact Equal Opportunity & Affirmative Action goals based on the availability figures and placement goals for the position

Requests for exception are directed to the Executive Vice Chancellor, via the Dean. As part of his or her recommendation, the Dean should address the items outlined in #3 above, as well as the programmatic and budgetary impact within the department and on a divisional or college wide basis.

The Executive Vice Chancellor will consult with the Director of Equal Opportunity, the Council on Planning and Budget, and the Committee on Academic Personnel prior to making a final decision.

## VII-4

### **PROCEDURES FOR RECRUITMENT OF ~~LADDER RANK~~ ~~SENATE~~ FACULTY AND OTHER PERMANENT ACADEMIC APPOINTMENTS**

(Revised 07/13)

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

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

#### **B. Recruiting**

The recruiting department:

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

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

9. Reviews the request and returns the Recruitment Packet to the department:

The recruiting department:

10. Enters the recruitment in UC Recruit, including the recruitment details, advertisement, online applicant requirements (optional), and sets search committee membership parameters if there will be a search committee
11. Places any additional approved advertisements for the position. Retains all copies of advertisements as they appear in publications and on-line, including the duration of advertisements.
12. Performs all other good faith recruitment efforts to increase the diversity of the pool.

### C. Processing Applications and Interviewing

The recruiting department:

1. **Obtains the relevant information to complete evaluations on applicants.** After the close date, reviews quality of application materials. When an applicant pool does not contain sufficiently qualified people to fill a vacancy, it may become necessary to extend or reopen a search. The department is responsible for repeating the requisite steps as necessary.
2. Consults with the Dean's office to schedule the Dean review of the applicants. College requirements may vary.
3. Completes the [Academic Recruitment Packet- Part 2 – Request to Interview Applicants](#) form, capturing all recruitment activities up to this point. A copy of the CV for each finalist is to be included.
4. Obtains the Department Chair's signature.
5. Submits the [Academic Recruitment Packet](#), to OEOSH/TC.

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

6. Reviews and analyzes the form in light of availability, annual placement goals and the *Diversity Survey*
7. **Signs off and** forwards the **Recruitment Packet** and the **Equal Opportunity recommendation** to the Dean for approval.

The recruiting department:

8. Upon receiving the Dean's approval of [Academic Recruitment Packet-Part 2 – Request to Interview Applicants](#) form, contacts prospective candidates and invites them to campus for an interview. Additionally, ensures that the proposed interview schedule is appropriate and that it is applied uniformly to all candidates.

### D. Equal Opportunity Hiring Proposal

The recruiting department:

1. Once a potential hire has been identified, completes the [Academic Recruitment Packet-Part 3 – Equal Opportunity Hiring Proposal](#) form.
2. Updates applicant's status in UC Recruit
3. Obtains the Department Chair's signature.
4. Forwards the [Academic Recruitment Packet](#) to the OEOSH/TC for review.

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

5. Reviews the recommended hire against the make up of the pool, availability figures and annual placement goals.
6. Returns the signed [Academic Recruitment Packet](#) to the department.

The recruiting department:

7. Forwards the [Academic Recruitment Packet](#) as part of the candidate's appointment case to the Dean's office for final approval.

VII-5  
**PROCEDURES FOR RECRUITMENT OF  
TEMPORARY ACADEMIC POSITIONS**  
(Revised 07/13)

**A. Recruiting**

The recruiting department:

1. Determines the length of the recruitment period.
2. Determines the publications or recruitment sources to be used.
3. Sets a realistic deadline for receiving applications so that campus Equal Opportunity & Affirmative Action policy and procedures may be carried out without undue pressures (e.g., advertising time too short to attract a reasonable number of applicants or a diverse pool). Departments should allow from one to two months for lecturer or research positions.
4. Follows established departmental and campus procedures and review criteria for the application process..
5. Completes the [Academic Recruitment Packet](#)– [Recruitment Posting Details and Part 1 –Plan for Academic Vacancies](#) request, including one copy of the advertisement. This [packet section](#) contains all relevant information on how the position will be advertised and the efforts to be made to ensure equal employment opportunity and to reach a diverse applicant pool in which women and minorities are represented.
6. Obtains Department Chair or Director’s signature.
7. Obtains Control Point’s signature.
8. Submits the [Academic Recruitment Packet](#), including one copy of the advertisement to the Office of Equal Opportunity & Sexual Harassment/ title IX Compliance (OEOSH/TC)

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

9. Reviews the request and returns the signed Recruitment Packet to the department:

The recruiting department:

10. Enters the recruitment in UC Recruit, including the recruitment details, advertisement, online applicant requirements (optional), and [sets](#) search committee [membership parameters](#) if there will be a search committee
11. Places any additional approved advertisements for the position. Retains all copies of advertisements as they appear in publications and online, including duration of advertisements.
12. Performs all other good faith recruitment efforts to increase the diversity of the pool.

**B. Processing Applications and Interviewing**

The recruiting department:

1. ~~Obtains the relevant information to complete evaluations on applicants.~~ When an applicant pool does not contain sufficiently qualified people to fill a vacancy, it may become necessary to extend or reopen a search. The department is responsible for repeating the requisite steps as necessary.
2. Updates the applicant’s status in UC Recruit.

3. Contacts prospective candidates and invites them to campus for an interview. Additionally, ensures that the proposed interview schedule is appropriate and that it is applied uniformly to all candidates.

### **C. Equal Opportunity Hiring Proposal**

The recruiting department:

1. Once a potential hire has been identified, completes the [Academic Recruitment Packet-Part 3 – Equal Opportunity Hiring Proposal](#)
2. Updates the applicant's status in UC Recruit.
3. Obtains the Department Chair or Director's signature.
4. Forwards the [Academic Recruitment Packet](#) to the OEOSH/TC for review.

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

5. Reviews the recommended hire against the make up of the pool, availability figures and annual placement goals.
6. Returns the signed [Academic Recruitment Packet](#) and the Equal Opportunity recommendation to the department.

The recruiting department:

1. Includes the [Academic Recruitment Packet](#) in the appointment paperwork packet that is sent forward to the control point for approval

VII- 7  
SUPPLEMENTAL INFORMATION ON ACADEMIC ADVERTISING  
(Revised 07/13)

**I. General**

The OEOSH/TC, whether the advertising source is free or for a fee, must approve all academic advertisements.

Responsibility for the cost and placement of ads with vendors, distribution of advertisement flyers, etc., is the responsibility of each hiring department. Deans or control points may allocate funds to departments for the purpose of advertising. Costs beyond those allocations are the responsibility of the department.

All academic position advertisements are posted on UCRecruit ~~and the Higher Education Recruitment Consortium (HERC) web site.~~

**II. Basic Elements of an Advertisement**

1. Name of campus department and the academic program where the vacancy is located
2. Job Number—~~This is supplied to departments by the OEOSH/TC~~ *Assigned by UCRecruit at the time the position is posted.*
3. Expected recruitment type (external or internal search)
4. Expected hire type (single, multiple, or pooled recruitment)
5. The level of the position if determined (e.g., Assistant, Associate, Open). For Senate faculty positions the level of the position listed in the ad must reflect the approved level of the provision.
6. The area of specialization/research—Preference or emphasis for a particular area of specialization can also be included. For Senate faculty positions the area must reflect the approved area of the provision.
7. The effective date of the position (e.g., effective July 1, 2001; or effective 2001–02)
8. Requirements—List any educational or other academic degree requirements if applicable. Care should be taken to clearly identify required qualifications from desired qualifications for the position.
9. Specify what constitutes a complete application. Departments may wish to request items such as the following:
  - a curriculum vita ~~or dossier~~
  - statement of research interests
  - samples of published work
  - number of references required and the manner by which a letter of recommendation is obtained.
10. Specify a deadline for receiving applications. Whenever possible, Senate faculty searches should set an application deadline between November 15 and December 31. Application deadlines later than February 1 should be avoided when anticipating a July 1 start date. Departments should be mindful of the AAU recruitment deadline of April 30, and the Intercampus deadline of April 1 (APM 500-16).
- ~~11. Departmental contact and on-line process information.~~
- 12.** Equal Opportunity/Affirmative Action Language—The following wording must be included in each ad: “The department is especially interested in candidates who can contribute to the diversity and excellence of the academic community through research, teaching and service.” The advertisement must end with: *The University of California is an Equal Opportunity/Affirmative Action Employer, or An EO/AA Employer. All qualified applicants will receive consideration for employment without regard to race, color, religion, sex, national origin, or any other characteristic protected by law including protected Veterans and individuals with disabilities.*”