

November 25, 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. Major changes include: authority for Postdoctoral Scholar appointments moved from Graduate Division to Academic Personnel (RB III-17), new procedures for exception to open recruitment (RB VII-1) and the expansion of titles eligible for off-scale salaries (RB III-16 and V-1.) A summary of all 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-2 Clarification that departments may set cut-off dates earlier than the campus cut-off date for case materials
- I-29 Updates to be consistent with updated Academic Personnel Manual (APM) language
- I-15, I-34, I-60 Change in process for Department Chair recommendations for ad hoc committee service
- III-9 Addition of self-statement as an optional document to be submitted in Research reviews
- III-14 Clarification of requirements on external letters for Associate Project Scientist and Project Scientist appointments and promotions
- III-16 Off-scale salaries now allowed for Specialist series based on APM updates
- III-17 Additional information required on Postdoctoral Scholar appointments and change of delegation of authority and routing
- III-18 Deleting routing instructions. Information is contained in RB III-17
- V-1 Off-scale salaries now allowed for Academic Coordinator series based on APM updates

- V-28 Clarification of review process and general salary adjustments for Deans and Full-time faculty administrators
- VI-1 Clarification of short-term leave approval
- VI-10 Clean-up of wording
- VI-15, VI-17 Update of honoraria policy based on APM updates
- VII-1 Exemption from search for certain modifications of positions. Change in process for exceptions to open recruitment for temporary positions
- IX-18 Change of office of record for Postdoctoral Scholar files

I-2
DEADLINE DATES
(Revised ~~08/07~~ 11/14)

The following deadlines have been established for submission of ladder faculty advancement cases from the Department to the College:

Routine Reviews: 2nd Monday in November
Assistant Professor Deferral Requests:

Non-Routine Reviews: 2nd Monday in December
(See Red Binder I-33 for definition
of non-routine reviews)

Completed cases must be submitted to the office of the appropriate Dean by the appropriate deadline 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. Recommendations must be based on materials available before September 15 except for extramural letters delayed by circumstances beyond the department's control. *Departments may institute earlier cut-off dates. Both the Dean and the Associate Vice Chancellor for Academic Personnel must be notified if the department plans to change its existing cut-off date.* It may also be appropriate in some promotion to tenure cases to add materials available after September 15.

In situations where a reviewing agency requests additional information in the case, a deadline for submission of those materials will be included in the request. If the materials are not received by the stated deadline the case will proceed through the review process without the materials. Failure to submit requested materials may have an effect on the outcome of the review. Failure to submit the requested materials may not be used as the basis for a reconsideration request.

~~Decisions regarding personnel recommendations will be announced on a case-by-case basis as the reviews are completed.~~

CONFLICT OF COMMITMENT AND OUTSIDE PROFESSIONAL ACTIVITIES

(Revised 09/13 11/14)

General information

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

Faculty members holding the following titles *at 50% time or more* are subject to APM 025 and are required to submit an annual report:

- Assistant Professor, Associate Professor, Professor
- The above titles when used with an Acting *or* Adjunct *or* Visiting pre-fix
- *Lecturer PSOE*, Lecturer SOE, Senior Lecturer SOE

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

A full-time faculty member on a nine-month appointment normally may not engage in compensated outside professional activity for more than 39 days during the academic year. Outside employment in excess of this time limit ~~for an individual faculty member, or a group of faculty,~~ may be approved when in the Chancellor's (or Chancellor's designee's) opinion the activity benefits the University. The 39 day limitation does not apply during periods of leave without pay, *however reporting of category I and II activity is still required.* *Faculty receiving compensation from the University during the summer period (i.e. Summer Session teaching or research compensation) may engage in a maximum of one day per week of outside professional activity.*

Categories Of Outside Professional Activity

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

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

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

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

- *Teaching for University Extension*
- Testifying as an expert in administrative, legislative, or judicial hearings;
- Providing consulting services or engaging in professional practice as an individual, single- member professional corporation or sole proprietorship.

- Serving on the board of directors of an outside entity
- Providing workshops for industry
- Other compensated outside professional activity not mentioned in Category I or III that common sense and good judgment indicate are not likely to raise issues of conflict of commitment.

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

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

Prior approval requirements

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

Category I exceptions

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

Graduate Student involvement

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

Reporting requirements

All activity that is subject to the 39-day limit as described above must be reported on an annual basis. The annual report period is from July 1st to June 30th of each year. The Report of Category I and II Compensated Outside Professional Activities form (APM-025, appendix C) is to be used for reporting purposes. This report must be completed on-line annually by each faculty member by September 15 of the calendar year. Faculty are to sign on to the Academic Personnel web site and use the Outside Activities Reporting link, My APM-025 tab, to complete the report. The Chair must review and approve each report. The Dean will review and approve the report of the Chair.

Reports are to be maintained in the department until the next personnel action at which time they will be included with the merit or promotion case. The reports are considered to be non-confidential in nature and are subject to public inspection.

I-15
DOCUMENTS TO BE SUBMITTED BY THE CHAIR
APPOINTMENTS
(Revised ~~04/13~~ **11/14**)

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

I. Departmental letter of recommendation

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

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

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

Extramural Letters

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

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

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

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

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

III. Complete CV and Academic biography form.

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

The follow items are submitted as hard-copy:

IV. Copies of publications

- Has a representative sampling of publications been submitted?

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

- Have all start-up issues been addressed?

VI. Recruitment Packet

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

~~**VII. Department Representative Nomination** (see RB I 60)~~

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

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

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

DOCUMENTS TO BE SUBMITTED BY THE CHAIR**NON-ROUTINE CASES**(Revised ~~09/13~~ 11/14)

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

I. Departmental letter of recommendation

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

- Is the letter an accurate, extensive, and **analytical** representation of the case?
- Is the actual vote included (e.g. 10(yes)-0(no)-0(abstentions)-3(not voting))? Is there an indication of how many were eligible to vote?
- If there is a recommendation for an acceleration, are the reasons for the acceleration specifically stated?
- In the case of a negative or mixed departmental recommendation, is the basis of the recommendation clearly documented?
- If the case contains extramural letters, are letter writers identified **only** by coded list, with no identifying statements?
- If the case is for a career review, does the letter provide an overview of the career accomplishments as well as analysis of the achievements within the most recent review period?
- Are all four areas of review covered: teaching, research, professional activity and university and public service?
- Are contributions to diversity and equal opportunity given recognition?
- Is all relevant information from the Departmental letter accurately entered on the case up-load screen?

II. Chair's Separate Confidential Letter

See Red Binder I-35 for further information.

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

III. Safeguard Statement.

The candidate must sign an on-line safeguard for each departmental recommendation. If it is difficult or impossible to obtain the required signature, the Chairperson should explain the situation and indicate in what manner he/she has attempted to meet the requirements outlined in the form.

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

IV. Bio-bibliographical Update

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

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

- Are there at least 6 letters, including letters from UC or UC familiar referees?
- Are at least half of the letters from references chosen by the Chair/Dept independent of the candidate?
- Have all letters been coded? Are the codes also on the copies and the redacted versions?

- If the letters were sent via email, is a copy of the email and any attachment included?
- If redacted copies of the letters were provided to the candidate, is a copy included (one copy only), and did he/she check box 7A on the Procedural Safeguards Statement?

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

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

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

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

VI. Evaluation of the teaching record.

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

- If the B&P printout is used, is it noted which classes have ESCI's?
- Does the file accurately indicate which course evaluations were done via hard-copy and which were done on-line?
- Has the second source of teaching been clearly identified on the coversheet?
- If a self-assessment of teaching was submitted, is it included with the case?

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

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

VIII. Sabbatical leave reports.

- If any sabbatical leaves were taken during the review period are copies of the reports included with the case?

IX. Outside Activity Reports (APM 025 Appendix C)

- Has a report been completed for each academic year within the current review period included?
- Is the form approved by the Department Chair(s)?

X. Copies of publications.

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

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

XI. Department Representative Nomination (see RB I 60)

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

AD HOC REVIEW COMMITTEES

(Revised 08/12 11/14)

I. General

Ad hoc review committees are required for the following reviews:

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

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

II. Make-up of Ad Hoc Review Committees

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

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

III. Appointment of Ad Hoc Review Committees

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

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

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

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

IV. Candidate Request Concerning Ad Hoc Membership

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

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

V. Department Representative

The designated departmental representative should decline to serve:

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

VI. Ad Hoc Committee Reports

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

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

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

~~To: Associate Vice Chancellor, Academic Personnel~~

~~From: Department Chair, Department~~

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

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

- 1) _____
- 2) _____
- 3) _____

III-9
DOCUMENTS TO BE SUBMITTED BY THE CHAIR
RESEARCH REVIEWS
(Revised 09/13 11/14)

Research series merits and promotions are to be submitted via the on-line case processing system. For all other series, submit the [Research Title Review Form](#) and the original of each document.

I. **Research Title Review Form or on-line upload screen**

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

II. **Departmental letter of recommendation**

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

For All Cases:

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

For Career Reviews:

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

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

See Red Binder I-35 for further information.

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

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

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

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

V. **Bio-bibliographical Update** (excluding teaching section).

- Is it in the proper format? *(See Red Binder I-27)*
- Is the Research section a **cumulative** list of publications (or creative activities) with a line drawn separating all new items from where the bio-bib from the last review case had ended?
- Are the numbers the same as in the previously submitted bio-bib, and have items previously listed as "In Press", "Submitted" been accounted for?
- Are all items, including "In Press", "Submitted", and "In Progress" properly numbered?
- Are publications identified as "refereed" when appropriate?
- If sections other than Research are cumulative, are lines drawn showing what is new since the last successful review?

- If publications are being submitted via electronic links, are the links current and direct to the specific item?

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

Extramural Letters

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

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

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

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

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

VII. **Self-Assessment of research and/or other activity and accomplishments (optional)**

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

VIII. **Copies of publications.**

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

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

III-14
PROJECT SCIENTIST SERIES
(Revised 05/14 11/14)

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 normally required** 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. *Internal evaluators are defined as external to the employing unit, but internal to UCSB.* 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 *additional* 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. *In rare circumstances it may be appropriate to waive the requirement for letters of evaluation. Requests to waive letters must be submitted to the Associate Vice Chancellor for Academic Personnel prior to submission of the appointment or promotion case.*

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 05/14 11/14)

I. Definition

The Specialist series is used for academic appointees who engage in specialized research 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 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.~~ *Off-scale salaries are allowed within the same limits and policies as ladder faculty off-scale salaries. (Red Binder I-8)*
- 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, 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 05/14 11/14)

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 Academic Personnel](http://www.graddiv.ucsb.edu/scholars/staff-resources) 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. UCSB Biography form
- 2. An up to date curriculum vitae
- 3. Academic Recruitment Packet- required if an open search was conducted
- 4. *For Postdoctoral Scholar Fellows and Paid Direct, a copy of the external funding agency’s award letter. The letter should include specific information regarding the salary support and the amount of funding available for coverage of health insurance and other required benefits. If the external agency will not provide funds for health insurance and other benefits, a departmental funding source must be provided.*

Reappointments

- 1. Annual evaluation form

The complete packet should be submitted to [the Graduate Division Academic Personnel](#) at least a month prior to the start date of the appointment. *A copy should be maintained in the departmental files.*

Upon notification of approval from [the Graduate Division Academic Personnel](#) 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. *A copy of the signed acceptance should be forwarded to Academic Personnel.*

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~~ *Associate Vice Chancellor for Academic Personnel*. Please note that if a Postdoctoral Scholar has an H-1B visa, an amendment to the H-1B must be filed reflecting the appointment percentage.
- B. Initial Appointments must be made for one year at a time. Reappointments will normally be for one year, but may be for less than one year under the following circumstances:
 - 1. Funding is available for less than an additional full year.
 - 2. The project will last less than an additional full year.
 - 3. Visa limitations
 - 4. At the request of the Postdoctoral Scholar, to “bridge” for a short period prior to other employment

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

V. Compensation

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

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. **Consultation with Academic Personnel and Labor Relations prior to the initiation of any layoff action is strongly encouraged.**

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, Associate Vice Chancellor,
Academic Personnel**

Delete

III-18
**INSTRUCTIONS FOR COMPLETION OF THE
POSTDOCTORAL SCHOLARS APPOINTMENT PROCESS**
(Revised 05/14)

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. 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.

V-1
ACADEMIC COORDINATOR
(Revised ~~10/10~~ 11/14)

I. Definition

This title is appropriate for appointees who administer academic programs that provide service to academic departments or research units, to students, or to the general public. The service must be closely related to the teaching or research mission of the University.

The duties of an Academic Coordinator are primarily administrative. Teaching or research related responsibilities will require appointment in an appropriate academic title. Occasional non-credit seminars or workshops may be conducted under the Academic Coordinator title. See APM 375 for System Wide policy on Academic Coordinators.

II. Rank and Step

This series contains ranks I - III. Ranks I and II include 15 steps, Rank III includes 9 steps.

III. Appointment Criteria

Requests for appointment should be prepared using the "Documents to be submitted by the Chair" (Red Binder V-2).

- A. An appointee must have a professional background of academic training and/or experience for appointment to this series. A Master's or equivalent or other appropriate degree(s) is usually required. Certain positions may require a doctorate or equivalent experience.
- B. The appropriate rank will be determined by taking into consideration such factors as program scope and complexity. APM 375, Appendix A provides guidelines for determining appropriate rank. In general, the ranks are differentiated as follows:
 1. Academic Coordinator I:
Appointees will have responsibility for programs of minimal to moderate complexity. The program will normally have a small staff, and may consist primarily of local University-related activities with limited breadth or narrow focus. The appointee will likely receive general supervision from the department chair, a faculty member or other academic or professional staff.
 2. Academic Coordinator II:
Appointees will have responsibility for programs of moderate complexity. The program will normally have a moderately-sized staff or a scope that encompasses several units or activities. The appointee is expected to manage the program with a great amount of independence.
 3. Academic Coordinator III:
Appointees will have primary responsibility for the administration, management, and coordination of large programs with broad and substantial complexity. Responsibilities will be fulfilled independently (for example, unit heads who report directly to a dean or vice chancellor). Appointments to this level will require demonstrated superior professional ability, outstanding accomplishment in job-related activities, and the assumption of greater responsibility than typically delegated to Academic Coordinators at other levels.

IV. Term of appointment

- A. Appointments will normally be made for one year at a time, but may, with justification, be made for up to a maximum of three years at a time.
- B. No further notice of non-reappointment is necessary for appointments at less than 50% or for appointment of less than eight consecutive years in the same title or series.

Notice of non-reappointment must be given if the employee has served at 50% or more for eight or more consecutive years in the same title or series (APM 137-30). Written Notice of Intent not to reappoint must be given at least 60 days prior to the appointment's specified end date. The notice must state (1) the intended non-reappointment and the proposed effective date; (2) the basis for

non-reappointment; and (3) the employees right to respond within 14 days and the name of the person to whom they should respond. Within 30 days of the Notice of Intent, and after review of any response, the University will issue a written Notice of Action to the employee. Pay in lieu of notice may be given.

V. Compensation

- A. *Individuals appointed to this series may be compensated on an academic-year or fiscal-year basis, dependent on the nature of the position.*
- B. *Off-scale salaries are allowed within the same limits and policies as ladder faculty off-scale salaries. (Red Binder I-8)*
- C. *Salaries are subject to range adjustment.*

VI. Advancement

Requests for merit or promotion should be prepared using the “Documents to be submitted by the Chair” (Red Binder V-2).

- A. Merit increases will normally occur once every 2 years at Rank I and II and once every 3 years at Rank III. A personnel review must be conducted at least once every two years at Rank I and II and at least once every three years at Rank III. If advancement is not justified, a recommendation of “no change” may be made.
- B. All merits and promotions will be effective July 1. Completed cases must be submitted to the appropriate control point by May 1, preceding the effective date.
- C. Advancement from one step to the next is based on merit. Promotion to a higher rank will require significant change in the scope and complexity of the program administered.
- D. A request for merit advancement will require evaluation of the candidate’s performance and activity in the areas of: a) Coordination of the Academic Program, b) Professional Competence, and c) University and Public service. A request for promotion must also address the change in scope and complexity of the program administered. An updated job description must be included with each request for merit, promotion or reappointment.

VII. Approval Authority

<u>Action</u>	<u>Authority</u>
New appointments	Associate Vice Chancellor for Academic Personnel
Reappointments and merits	Dean or Associate Vice Chancellor for Academic Personnel, as appropriate
Promotions	Associate Vice Chancellor for Academic Personnel

DEANS AND FULL TIME FACULTY ADMINISTRATORS

(10/10 11/14)

The system-wide policy for Deans is set forth in Academic Personnel Manual (APM) 240. The system-wide policy for Full time Faculty Administrators is set forth in Academic Personnel Manual (APM) 246. At UCSB, the application of these policies is outlined in the following:

I. Definition

An academic Dean, Acting Dean, or Interim Dean is head of a Division, College, School, or other similar academic unit and has administrative responsibility for that unit. As academic heads of their units, Deans are persons of scholarly and professional accomplishment. The University encourages their continued engagement as academicians in scholarly, professional, teaching, and University service activities, consistent with, but distinct from, their decanal responsibilities. Therefore, it is appropriate for time to be allotted to them to engage in these activities. University Extension Deans are not covered by this policy.

Faculty Administrators who are appointed at 100% are primarily responsible for administrative duties but maintain their underlying Academic Senate faculty appointment. Faculty may be appointed to 100% administrative positions into the following titles:

Associate Vice Chancellor

Associate Dean

Appointees in these titles assume a portion, or specific function of the duties assigned to the respective Vice Chancellor or Dean and may act in their behalf as requested.

II. Terms of service

Deans and 100% Faculty Administrator appointments will be full time positions and will be for a period of up to five years, subject to reappointment. Appointments are made on a fiscal year basis. Appointment as Acting or Interim will normally be for a one year period, subject to reappointment, and may be on either an academic or fiscal year basis, as determined by campus need.

The Executive Vice Chancellor will conduct an annual assessment of each Dean and 100% Faculty Administrator and will communicate the key components of the assessment to each appointee. In addition, the Executive Vice Chancellor shall conduct a five-year review of each Dean and 100% Faculty Administrator, in accord with APM 240-80 b. (1), APM 246-80 b, and campus procedures. 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 individuals serve 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:**

Deans will be paid within the salary bands established by the Office of the President. Initial salaries will be based on prior relevant administrative experience, market factors, comparable positions on campus or within the UC system, and the individual's professorial salary. At all times the administrative salary must remain greater than the professorial salary.

A full time Faculty Administrator's initial salary will be based on the following factors, as applicable: prior relevant administrative experience, market factors, comparable positions on campus or within the UC system, and the individual's professorial salary.

B. Merit increases:

Deans and 100% Faculty Administrators are eligible for consideration of a merit increase associated with the administrative salary *at the time of the five-year review and reappointment. Merit increases are normally effective July 1.* on an annual basis, based on Office of the President directive following the system wide budgetary process. A candidate must have been appointed by April 1 to be eligible for merit in the subsequent cycle. Merits are normally effective October 1.

The amount of merit increase will be based on the *annual five-year* assessment, the candidate's current position within the salary range and relative to other internal positions, and the availability of funding.

C. Other salary increases:

The Chancellor is authorized to approve pay increases based on equity, retention, or at the time of a five-year review in accord with APM 240-18 c. and 246-18 c. *Equity or retention increases may also be granted during the appointment period and should be effective July 1 to the extent possible.* will be effective on the same date as the administrative merit, to the extent possible, with the merit applied first. The equity or retention portion will be applied only if the merit increase does not resolve the inequity or retention issue. If an equity or retention increase has occurred mid year, the next merit increase will be calculated on the salary prior to the equity or retention increase and applied only if the resulting merit results in a higher salary. *Deans and 100% Faculty Administrators will be granted general salary increases or range adjustments equivalent to those granted on the underlying faculty appointment.*

D. Additional Compensation:

A Dean or 100% Faculty Administrator may receive up to 1/12th payment for summer research or for summer session teaching in exchange for accrued vacation days. Vacation days may not be used in advance of accrual. Individuals holding an Acting or Interim appointed on an academic year basis may receive summer compensation, not to exceed 3/9ths, exclusive of stipends.

IV. Conflict of Commitment and Outside Professional Activities

Deans and full time Faculty Administrators are subject to APM- 025 and Red Binder I-29 with the following additional provisions:

(1) A Dean or full time Faculty Administrator may serve on no more than three for-profit external boards for which he or she receives compensation and for which he or she has governance responsibilities.

(2) All outside professional activities, including compensated consulting activity, shall be reported annually to the Executive Vice Chancellor.

(3) A Dean or full time Faculty Administrator may in each fiscal year engage in a maximum of 48 calendar days of compensated outside professional activity. The first 12 days per fiscal year do not require use of vacation time. Days in excess of 12 require use of accrued vacation leave, which must be used in full day increments.

V. Leaves

Deans and full time Faculty Administrators accrue and use vacation in accordance with APM-730, at a rate of 16 hours per month for a full time, fiscal year appointment. Vacation is used in full day increments only. Time cards are to be kept up to date on a monthly basis and submitted to Academic Personnel at the end of each fiscal year for review and approval by the Executive Vice Chancellor.

Deans may be granted a transition leave immediately following the conclusion of the service as Dean. The leave will be paid at either the current administrative or the faculty rate, dependent on when the sabbatical leave credits were accrued. Transition leave is subject to the conditions of APM 240-60 e.

Deans and full time Faculty Administrators do not accrue sick leave. However appointees will be granted paid medical leave for periods of personal illness, injury, or disability, in accordance with

APM 710-11. All other faculty leave polices are applicable to Dean and full time Faculty Administrator appointments (Red Binder VI-1).

VI-1
LEAVES OF ABSENCE
(Revised ~~10/11~~ 11/14)

Policies on Leaves of Absence for both academic-year and fiscal-year appointees are outlined in APM 700 - 760. The following contains procedures on the Santa Barbara campus relating to these policies.

I. General

- A. Specific regulations have been established by The Regents and the President on certain types of leaves of absence. These are:
1. Sabbatical Leave (APM 740)
 2. Sick Leave (APM 710)
 3. Family and Medical Leave (APM 715)
 4. Vacation (APM 730)
 5. Holidays (APM 720)
 6. Leave to attend Professional Meetings (APM 752)
 7. Miscellaneous Leaves (APM 750, 751, 758, 759)
 8. Parental Leave, Childbearing and Active Service Modified Duties (APM 760)
- B. Because academic-year appointees are expected to be present from the beginning of the Fall quarter through the end of the Spring quarter, any appointee returning after the beginning of the Fall quarter or leaving before the end of the Spring quarter, should apply for a leave of absence in accordance with the applicable policy.
- C. A faculty member must submit their leave request to the Department Chair at least 45 days in advance of the begin date of the pay period of the quarter in which the leave is to be taken, unless circumstances beyond the control of the faculty member make this impossible. Requests for sabbatical leaves must be submitted 3 months in advance of the begin date of the pay period for the leave. *Appointees in other titles are encouraged to submit leave requests as early as possible.*
- D. Leave requests for periods of *more than 7 days* ~~8 to 30 calendar days~~ (other than vacation and ~~holiday~~ *sick* leave *for those in accruing titles*) must be *forwarded to the Dean or control point for approval*, accompanied by a memo from the Department Chair or Director endorsing the leave (see IV below). Leave requests for more than 30 days also require input into the payroll system. **NOTE:** A leave without salary must be entered into the payroll system regardless of the length of the leave.
- E. All academic employees are covered by FML, CFRA and FEHA. In most cases university policy provides greater coverage than that required by State and Federal law. Please see the appropriate APM sections, as listed above, for information concerning coordination of University policy and State and Federal Law. FML will normally run concurrently with other approved leave.

II. Leaves and the Eight Year Probationary Period; Assistant Professors and Lecturers PSOE

- A. Childbearing, Parental Leave or a combination of both, which is equal to or exceeds one quarter and which is not greater than one year, whether with or without salary, is automatically excluded from service toward the eight-year probationary period. The Assistant Professor or Lecturer PSOE must inform the Department Chair in writing before, during, or within one quarter after the leave, if he/she wishes the time to be included as service toward the eight-year period. It should be noted that this is considered time excluded from the tenure/SOE clock and the Assistant Professor or Lecturer PSOE should not be expected to produce any additional materials/publications because of this exclusion. Any materials/publications that are produced, however, should be considered in the next appropriate review.
- B. A period of Active Service-Modified Duties is included as service toward the eight-year probationary period or toward other service limits described in APM 133.
- C. Upon request of an Assistant Professor or Lecturer PSOE who has 50 percent or more of the

responsibility for the care of an infant up to age two, or a child under age five newly placed for adoption or foster care, an extension of the probationary period of up to one year may be granted by the Associate Vice Chancellor for Academic Personnel. The request for an extension must include a written statement by the faculty member certifying that he/she has 50 percent or more of the responsibility. Requests for such extension must be made within two years of a birth or adoption, and may not be made after the tenure review has begun. There is a limit of two such extensions during the probationary period to provide for birth or adoption.

- D. With the exception of Childbearing or Parental Leave, periods of leave, either with or without salary, are included as service toward the eight-year period. Exception may be granted only if requested in conjunction with the original leave request, or in the case of sick leave, within one quarter or semester after the leave is taken. The Associate Vice Chancellor for Academic Personnel, after consultation with the Committee on Academic Personnel, may determine that the activity undertaken during the course of the leave is substantially unrelated to the individual's academic career.
- E. For purposes of review for advancement or promotion accomplishments produced during the leave period will be considered as part of the total record, but the period of extension shall be excluded when evaluating the rate of research or teaching performance.

III. Leaves and Sabbatical Leave Accrual

- A. Sabbatical leave credit is not accrued during a period of leave with or without pay. Credit will accrue if an absence is for less than one-half of a quarter.
- B. Sabbatical leave credit will accrue during a period of Active Service-Modified Duties when the duties are equivalent to at least 50% of normal duties. When such is the case, the Chairperson's endorsement of a period of Active Service-Modified Duties should include a statement to that effect.
- C. Sabbatical leave credit is not accrued during periods of service when more than 50% of the appointment is paid from extramural grant funding. Payment from extramural funding requires appointment in a Research title that does not allow accrual of sabbatical leave credit.

IV. Chair's/Director's Request For Leave Approval Sample Letter

Date _____

TO: Dean/Associate Vice Chancellor for Academic Personnel

FROM: Department Chair/Director

RE: Request for _____ Leave during 20__-20__ for _____
(Type of Leave) (Name)

I endorse the request of _____ for a _____ leave
(Name) (Type of Leave)
for the period of _____ through _____ [for the _____ quarters.] A
(Date) (Date) (Fall/Winter/Spring)
copy of the written request is attached. _____ will return from the leave on
(Name)

(Date)

The purpose of the leave is to _____
(Explanation)

(For sabbatical leave include the location while on leave, collaborator, if applicable, source and amount of financial support while on leave, sabbatical leave credits to be used and sabbatical leave credit balance, as well as any request for forfeit or liens of sabbatical leave credits).

_____ will receive _____% income from UC during the period of the leave (or will be without salary),

(Name) *(percent)*
_____ 's assigned courses will be covered by _____
(Name) *(Name)*
[He/She is a Principal Investigator of a grant and appoints Professor _____ as a substitute for the
(Name)
period with approval of the sponsoring agency.]

I request your approval of this leave. (for sabbatical leave requests: Attached you will find a list of other faculty on approved leave during the period.)

Attachment(s) (written request for leave and list of other faculty on leave during the period.)

ADDITIONAL COMPENSATION(Revised ~~04/14~~ 11/14)**General Policies**

Reference: APM 660

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

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

Additional compensation during the academic year is allowed only for duties not directly related to the individual's recognized University duties. Examples of this include department chair stipends, Extension teaching, lectures given on other UC campuses and faculty consulting.

Additional compensation for fiscal year academic employees is generally not allowed, with the exception of some types of honoraria and Summer Session teaching.

The following University activities may be sources of additional compensation. (The correct DOS code or form of payment is listed in bold for each type of service). *Red Binder VI-14 and VI-17 provide further detail regarding specific types of additional compensation.*

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

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

Additional compensation for the summer period is calculated using the "Daily Factors 19-day Chart (Red Binder VI-12). The chart is used to determine the percentage of time and effort equivalent to the number of summer days worked. Each day during the summer can only be used once and the total percent time for each day may not exceed 100%.

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

Dates for 2013 Additional compensation

Dates for 2014 Additional compensation

<u>Month</u>	<u>Number Of Days</u>	<u>Percent time</u>
June 17-30	10	.5263
July 1-31	23	1.2105
Aug. 1-31	22	1.1579
Sept. 1-20	15	.7143

<u>Month</u>	<u>Number Of Days</u>	<u>Percent time</u>
June 16-30	11	.5789
July 1-31	23	1.2105
Aug. 1-31	21	1.1053
Sept. 1-26	20	1.0526

VI-15
INTERCAMPUS PAYMENTS
(Revised ~~04/13~~ 11/14)

Reference: APM 666

One-time Payments

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

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

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

Multi-campus appointments

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

Processing of forms

When UCSB is the host campus, the department will prepare an [Intercampus One-Time Payment](#) form or [Temporary Intercampus or Multicampus Appointment Form](#) indicating the desire to hire a person from the home campus. The UCSB department should contact the home department to verify the individual's current title, pay rate and basis of pay. The form should be filled out to include the person's name, title for payment, the host department's name, the rate of pay and the period of the appointment. The appropriate individual in the department should sign as the "Host Campus Fund Source Authorization. The completed form must be submitted to the Academic Personnel office, with a copy sent to College office or other appropriate control point.

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

VI-17
OTHER ADDITIONAL COMPENSATION
(Revised 09/13 11/14)

I. Summer Session teaching

Reference: APM 661-14

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

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

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

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

II. University Extension

Reference: APM 662, appendix B-2

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

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

III. Faculty consultant services

Reference: APM 664

A faculty member may receive additional compensation for consulting on projects conducted under the auspices of the University if the consulting does not fall within the normal duties of the individual. The rate is negotiated, but may not exceed the daily rate when state funds are used, or the daily rate plus 30% if grant funding is used. The additional 30% is in consideration of the fact that no benefits are paid on the salary. If payment is to come from a grant, the grant should first be reviewed to assure that consultant payments are allowed. Payments are allowed during both the academic year and the summer months. During the summer the compensation counts toward the 3/9ths limit. For academic-year employees the daily rate is figured by dividing the annual salary by 171. For fiscal-year 11-month employees the daily rate is figured by dividing the annual salary by 236.

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

IV. University awards

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

V. Department Chair and Director stipends

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

VI. Start-up and retention research support

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

VII. Dean's summer research compensation

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

VIII. Honoraria

*Academic employees may receive honoraria for work related to University-sponsored conferences and panels, or creative work unrelated to the primary job responsibilities. Honoraria may not be paid using State funds. When work of this type is performed at a different UC campus, the payment is processed via an intercampus payment (see Red Binder VI0-15). When the work is performed at UCSB, it may be paid through the payroll system as an honoraria, using the DOS code of **HON**.*

VIII. Other Summer Additional Compensation

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

VII-1
POLICIES ON OPEN RECRUITMENT FOR ACADEMIC APPOINTMENTS
(Revised 05/14 11/14)

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 Requiring an Open Recruitment

Academic titles that require an open recruitment are as follows:

- 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 UC Recruit job board. 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 consecutive 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 and Other Permanent Academic Titles

An open recruitment is required for all Academic Senate titles and other permanent academic titles (i.e. Librarians).

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 without a significant break in service.
- E. Positions requiring student status, e.g. teaching assistant, graduate student researchers.

F. *A modification of the current position from one Senate series to another (i.e. Lecturer SOE to Professor) or one non-senate research series to another (i.e. Project Scientist to Researcher) assuming the original appointment had either an open search or an approved exception to open recruitment.*

FG. 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.

GH. Without salary appointments.

H. I 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. If the request is based on a unique position, explain why this person and no other can fill the position.
- Indicate the intended duration of the exception
- 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 case.~~

~~The request is submitted to the Director of Equal Opportunity. The Director of Equal Opportunity will provide information regarding the impact of the proposed hire on affirmative action goals and the Campus Affirmative Action Plan. The request will then be forwarded to the Dean or Associate Vice Chancellor with approval authority for the requested action. If the request is approved, the department may then submit an appointment case. If the request is denied, an open search will be required. A copy of the Equal Opportunity report will be provided to the department along with the approval or denial.~~

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 opportunity- 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 recruitment
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. ~~The Director of Equal Opportunity will provide information regarding the request in the context of the Campus Affirmative Action Plan and placement goals. The Council on Planning and Budget will provide guidance regarding resource allocation for the position. The Committee on Academic Personnel will provide an initial assessment of the candidate's qualifications for an academic senate position. If the request is approved, the department may submit an appointment case. If the request is denied, an open search will be required. A copy of the Equal Opportunity report will be provided to the department along with the approval or denial.~~

In recruitments that are limited to either the Assistant or Associate level, if a candidate is promoted to a higher level at their home institution after an offer has been made, an abbreviated EOR process exists. The department may request an EOR to allow appointment at step I of the next highest rank based on the promotion at the home institution. The request will be forwarded from the department, via the Dean, to the Executive Vice Chancellor. No further review will be required, although the Executive Vice Chancellor may request review by either the Committee on Academic Personnel or the Council on Planning and Budget, if he or she so wishes. If the exception is approved, the department may then submit the appointment case with a request for the higher rank. Additional external evaluation may be required to support the higher rank appointment.

IX-18
Academic Personnel Records Retention
(Revised 10/10)

The following guidelines are based on the University of California Records Disposition Schedule, available on-line at <http://www.policies.uci.edu/adm/records/721-11a.html>

The Academic Personnel Office is the office of record for personnel files of all academic employees other than the following:

<u>Series</u>	<u>Office of record</u>
Librarians	Library
Postdoctoral Scholars	Graduate Division
Teaching Assistants, Readers, Graduate Student Researchers	Department

I. Retention of files

Documents are to be maintained as follows:

Personnel files*:

Senate faculty: Academic Personnel maintains files for Senate faculty indefinitely. If a Department or College is keeping a secondary file, that file must be maintained until the employee separate from the University.

Non-Senate Academics: Academic Personnel, as the office of record, maintains files for 5 years after separation. Departments must retain files until the employee separates from the University.

*Items that are stored electronically on line by the Academic Personnel office and are accessible to the department or college do not need to be separately maintained in the department or college.

Applicant files

Files of applicants who do not become employees are to be maintained by the department for 3 years.

Faculty appointment cases that are put forward but for review, but are ultimately unsuccessful recruitments will be maintained by Academic Personnel for 3 years.

Teaching evaluations (student comments and ESCIs) are to be maintained for the longer of:

- 1) until used in a review file, or
- 2) as long as a need is present

II. Equal Opportunity/Affirmative Action Obligations

The United States Department of Labor sets forth specific obligations as an equal opportunity/affirmative action employer. In general, any personnel or employment record must be kept a period of not less than two years from the date of the making of the record or personnel action involved, whichever occurs later. . . . Such records include, but are not necessarily limited to, records pertaining to hiring, assignment, promotion, demotion, transfer, lay off or termination, rates of pay or other terms of compensation, and selection for training or apprenticeship, and other records having to do with requests for reasonable accommodation, the results of any physical examination, job advertisements and postings, applications and resumes, tests and test results, and interview notes. In the case of involuntary termination of an employee, the personnel records of the individual shall be kept for a period of not less than two years from the date of the termination.

The requirements of this section shall apply only to records made or kept on or after December 22, 1997.