

November 2, 2015

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:

- New campus policies and procedures for academic searches.
- Updates to reflect systemwide changes in:
 - the Specialist series
 - time off the clock for Assistant Professors, Lecturers PSOE and Assistant Researchers
- Addition of campus cut-off dates for materials in Research, Project Scientist, and Specialist advancement cases
- Creation of on-line forms for Associate appointments, Lecturer appointments, and Continuing Lecturer annual workload
- New section on academic compensation

In addition, transitional guidelines and materials related to the changes in policy and procedure for academic searches are available on the Academic Personnel website under Resources for Departmental Analysts/Recruitment Toolkits, or directly at:

<https://ap.ucsb.edu/resources.for.department.analysts/recruitment.toolkits/>

A summary of all changes is listed below for your convenience.

The complete Red Binder, as well as the annotated changes may be viewed on the Academic Personnel website at: <https://ap.ucsb.edu/policies.and.procedures/red.binder/>

Summary of changes

I-4, VI-1

Incorporate recent changes to system-wide policy (APM) that clarify the possible reasons for extension of 8-year limit for Assistant Professors, Lecturers PSOE, and Assistant Researchers. Move wording from leave section to limitations on service section. Clarification of other language regarding titles requiring mandatory review.

I-15, II-25, III-7, III-17, V-2, V-11, VII-4, VII-5

Changes reflecting transition from paper recruitment packet to electronic process via UCRruit.

I-25 Procedure for providing written statement if the candidate disagrees with an aspect of the procedural safeguard.

I-27 Cut-off dates for bio-bib preparation for series other than senate faculty. Incorporate recent changes to system-wide policy (APM) regarding diversity contributions.

I-29, IX-13

Reference correction and deletion of outdated version of policy in Red Binder.

I-35 Incorporate recent changes to system-wide policy (APM) regarding diversity contributions.

I-70 Addition of title names for recall appointments.

I-75 Various updates to reflect changes in procedure and correct wording.

II-1 Add approval authority for non-senate recall teaching appointments. Move sample letters out of Red Binder to web based forms

III-8 Incorporate recent changes to system-wide policy (APM) regarding the Specialist series.

III-12, III-14

Cut-off dates for bio-bib preparation for series other than senate faculty.

III-16 Incorporate recent changes to system-wide policy (APM) regarding the Specialist series. Cut-off dates for bio-bib preparation for series other than senate faculty.

IV-1, IV-3, IV-6, IV-8

Clarify processes for academic student employees. Move sample form letter for Associates out of Red Binder to a web-based form

IV-9 New section on Remedial Tutors

VI-8 Clarify leave codes to be used for academic year employees

VI-9 New section explaining academic appointment compensation. Pay and service period chart being removed from Red Binder and on to Academic Personnel web site as reference material under Compensation and Benefits, or directly at <https://ap.ucsb.edu/compensation.and.benefits/>

VI-17 Clarify limitations on honoraria.

VII-1, II-28, V-17

Updates to campus open search requirements based on federal regulations and compliance requirements

IX-13

Remove policy from Red Binder and point to policy on Graduate Division site.

Forms <https://ap.ucsb.edu/forms/>

Updates

Bio-bib: update to grant section indicating new/continuing funding

UCSB biography form: add e-mail and preferred address designation

New

Associate Appointment Form

Lecturer and STE Appointment Form

Continuing Lecturer workload Form

ELIGIBILITY, DEFERRAL AND MANDATORY REVIEW

(Revised 4/15)

I. Service Credit

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

II. Extensions of the 8- year limit for Assistant Professors, Lecturers with Potential Security of Employment, or Assistant Researchers

Under specific circumstances, an Assistant Professor, Lecturer with Potential Security of Employment, or Assistant Researcher may request an extension of the 8 year limit. An individual may have no more than two extensions during the probationary period and requests may not be made after the tenure/SOE/Associate Researcher review has begun. Request for extension are to be addressed to the Associate Vice Chancellor for Academic Personnel, via the appropriate Chair, Director and Dean or other control point. Extensions of the clock may be requested for the following reasons:

- a. Childbearing or Childrearing: A request may be made to allow the employee to care for any child who is, or becomes part of the employee's family. The employee must be responsible for 50 percent or more of the care of the child. The birth or placement of more than one child at a time constitutes a single event of birth or placement.*
- b. Serious Health Condition: A request may made when the employee's ability to pursue his or her duties is significantly disrupted by a serious health condition or disability, by the need to care for a close family member who is seriously ill, or the death of a close family member. Supporting documentation must be provided with the request for extension.*
- c. Significant Circumstance or Event: A request may be made when significant circumstances or events beyond the individual's control disrupt the individual's ability to pursue his or her duties. Examples include, the effects of a natural disaster or extraordinary delays in the provision of research resources committed to the individual which are necessary for his or her research activities. Supporting documentation must be provided with the request for extension.*

Assistant Professors or Lecturers with Potential Security of Employment who have been approved for an extension of the tenure clock should not be expected to have produced more or performed at a higher level than faculty who have not extended the tenure clock. The file is to be evaluated without prejudice as if the work were done in the normal period of service.

~~II.~~ III. Regular Ranks, Steps, Normal Periods Of Service

The Assistant Professor Rank contains steps I-VI, although steps I and VI are not used at UCSB. The Associate Professor Rank contains steps I-V, although step V is not used at UCSB. The normal time of service at each step within the Assistant and Associate rank is 2 years, except for service at the special steps of Assistant Professor V and Associate Professor IV (Red Binder I-37). The Professor rank contains steps I- IX as well as Above Scale. Normal service at steps I-IV is 3 years. Service at step V and above may be for an indefinite time: however, normal service is 3 years at steps V through VIII and 4 years at step IX or Above Scale. Eligibility for normal advancement occurs after the normal time of service at each step. If not advanced in step at that time, the candidate will continue to be eligible each year until advancement in step occurs. *Normal periods of service in other academic series is described in the Red Binder section covering the series.*

III. IV. Advancement Effective Dates

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

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

IV. V. Mandatory Five-Year Reviews

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

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

V. VI. Deferral Of Review

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

Deferral requests made by Assistant Professors *or Lecturer with Security of Employment* must be accompanied by a letter of recommendation from the Chairperson that explains the reasons for the deferral and describes the progress that will be expected prior to the next review. Review for promotion to tenure *or Security of Employment* will normally take place by the end of the 6th year of service but may be deferred until the 7th year. The faculty member's deferral request along with the Chairperson's letter of recommendation must be submitted via AP Folio.

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

I-15
DOCUMENTS TO BE SUBMITTED BY THE CHAIR
APPOINTMENTS
(Revised 4/15)

All appointment cases are submitted via AP Folio.

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 following 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?

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.

**PROCEDURAL SAFEGUARD STATEMENT
INSTRUCTIONS TO THE CHAIR**

(Revised 4/15)

The Procedural Safeguard Statement has been designed to follow the actual steps taken when a candidate is being considered for a personnel action. It is important for the Department Chairperson, as well as for the candidate, to note how each step leads to the forwarding of a recommendation to the administration. For example, the difference between Number 9 and Number 12 on the Safeguard Statement is a matter of timing. Number 9 occurs before the department meets and votes on the case. Therefore, written comments by the candidate under Number 9 would refer to materials on which the case is based and would be routinely considered by the department before the vote is taken. Written comments submitted by the candidate under Number 12 would refer to the recommendation after the department review and could be supplied to the Chair or sent directly to the Dean, who normally will ask the Department for comment.

It is advisable for the Chair to provide a copy of the Procedural Safeguard Statement to a **faculty member candidate** prior to the initiation of a personnel review, so that the **faculty member candidate** is apprised of the steps and safeguards built into the process. The sample Safeguard Statement (Red Binder I-26) may be used for this purpose. The candidate should also be informed that signing the Safeguard Statement does not imply concurrence with the departmental recommendation. It only provides a record of the procedures that were followed in the review of the case. **There is a place for candidates to record any exceptions or comments. If the candidate feels that all procedures were not appropriately followed, the department should attempt to rectify the problem. If the candidate continues to feel all procedure were not followed, they may submit a separate memo stating specifically which procedures were not followed. The memo will be added to the case along with the signed safeguard statement.**

For individuals holding joint appointments, a separate Safeguard must be completed for each department. In the rare case that a department, based on their stated voting procedures, defers to the majority percentage department, a Safeguard Statement will be required for the majority percentage department.

The Procedural Safeguard Statement is to be completed by the **faculty member candidate** via AP Folio and, must be forwarded as part of the departmental personnel case per Section 220-80-c of the Academic Personnel Manual (APM). If in the case of a mandatory review it is 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.

In addition, if any of the following documents have been supplied to the candidate or by the candidate, they must be included in the personnel case when forwarded to the administration:

1. Redaction of confidential documents in the file (7A).
2. Candidate's written statement commenting on material in the file (9).
3. Candidate's written comments regarding the departmental recommendation (12).

**INSTRUCTIONS FOR COMPLETION OF THE
BIO-BIBLIOGRAPHY**
(Revised 4/15)

It is the responsibility of each faculty member and academic employee in a research title to maintain an up to date bio-bibliography (bio-bib). ~~For Senate faculty~~ The bio-bib should contain information ending at the *appropriate* campus cut-off date *as follows*:

<i>Senate Faculty</i>	<i>September 15</i>
<i>Research series</i>	<i>December 31</i>
<i>Project Scientist/Specialist</i>	<i>January 31</i>

~~of September 15, Departments may establish earlier submission dates if they desire. or the date established by the candidate's department if an earlier date has been established.~~ Information that falls beyond ~~that the cut-off~~ date will not be considered in the review. Departments may require that the bio-bib be updated and submitted on an annual basis to assist the chair in the annual review of all Senate faculty (APM 220-80 b.)

~~For appointees in academic research titles, the bio-bib should contain information ending at the date established by the candidate's department.~~

Contributions in all areas of review that promote equal opportunity and diversity should be listed under the appropriate review area and will be evaluated and credited in the same way as other faculty achievements. Contributions may take a variety of forms including efforts to advance equitable access to education, public service that addresses the needs of diverse populations, or research that highlights inequalities.

Bio-bibs may be maintained in any format (word document, excel document, etc) but must conform the format described below. A bio-bib template is available via the Forms section of the Academic Personnel web site.

Short Curriculum Vitae

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

Research

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

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

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

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

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

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

* for items previously listed as Work In Press

** for items previously listed as Work Submitted

***for items previously listed as Work In Progress

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

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

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

Teaching (For Senate Faculty only)

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

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

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

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

Professional Activity

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

University and Public Service

The bio-bib must include an itemized list of various activities by categories or level (e.g., department, Senate, administration, community, governmental, and so forth) that have occurred since the last successful review. *Mentoring and advising of students and faculty, particularly from underrepresented and underserved populations, may be listed as University service.* If a cumulative list is maintained, a line must be drawn to show which activity is new since the last review.

CONFLICT OF COMMITMENT AND OUTSIDE PROFESSIONAL ACTIVITIES

(Revised 4/15)

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 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 may not engage in compensated outside professional activity for more than 39 days during the academic year. 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, or (2) 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). The request form is accessed by signing on to AP Folio, 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.

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 in Graduate Education Students Working with Industry (Red Binder IX-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 annually by each faculty member by September 15 of the calendar year. Faculty are to sign on to AP Folio 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. The reports are considered to be non-confidential in nature and are subject to public inspection.

HOW TO WRITE A DEPARTMENTAL LETTER
Appointments and Advancements
 (Revised 4/15)

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

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

The departmental letter should provide a summary of both the positive and negative aspects of the case. Direct quotes from faculty ballots or from the departmental discussion should be avoided. The analysis overall should strive for balance. It should identify criticisms and reservations, especially when there is significant opposition to the recommendation. It should, if indicated, include an assessment of the significance of particular extramural views or judgments. In the case of a negative departmental recommendation, the basis of the recommendation should be documented as well.

Individuals who have provided confidential letters of evaluation should not be identified, except by means of a coded list (e.g., "Reviewer A"). Note that in career reviews (promotions and advancement to step VI or Above Scale), the department letter should provide an overview of career accomplishment as well as the achievements of the most recent review period.

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

Teaching, research, professional and public service contributions that promote diversity and equal opportunity are to be encouraged and given *due* recognition in the evaluation of the candidate's record. *Contributions to diversity and equal opportunity may include effort to advance equitable access to education, public service that addresses the needs of diverse populations, or research in a scholar's area of expertise that highlights inequalities. Mentoring and advising of students and faculty members, particularly from underrepresented and underserved populations, should also be given due recognition. Letters for appointees in other academic series (i.e. Researcher, Academic Coordinator, etc.) should cover the review areas appropriate to that series.*

Suggested format for letters of recommendation

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

A) Research

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

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

In certain fields such as art, architecture, dance, music, literature, and drama, distinguished creativity should receive consideration equivalent to that accorded to distinction attained in research. In evaluating artistic creativity, an attempt should be made to define the candidate's merit in the light of such criteria as originality, scope, richness, and depth of creative expression. An important element of distinction is the extent of regional, national, or international recognition.

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

B) Teaching

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

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

C. Professional Activity

The departmental letter should include a full analysis of the candidate's performance, indicating the most prominent features of the record. The significance of honors, awards and extramural grants should be described. *If a contract or grant is listed as "continuing", detail of any changes in the funding should be provided.*

D. University and Public Service

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

3. Summary

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

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

Chair's Separate Confidential Letter

While this option is not often used, the Chair may, in accordance with APM 220-80e, submit a separate letter indicating his/her own analysis and recommendation. This letter is not made available to other members of the faculty in the department. It should be noted that a Chair's separate letter is designed to be evaluative of the evidence available to the department; new evidence can be considered on the rare

occasions when it could not be appropriately shared with the department. A Chair's confidential letter may also be used to address unresolved issues between majority and minority opinions related to a case, or to address a candidate's comments in response to the departmental review. When a Chair submits a confidential "Chair's separate letter", it should be clearly identified as such, and will become part of the personnel review file. The status of such a letter is considered to be non-departmental (as is a letter from a dean). It is not submitted to an ad hoc review committee when one is convened. As a "confidential academic review record" (as defined in APM 160-20-b), a Chair's letter will be made available to the candidate upon request along with other review agency reports at the end of the review process.

I-70
PROCEDURE FOR RECALL OF SENATE FACULTY
(Revised 05/14)

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

Requests for recall appointments are made using the [Academic Recall Appointment Form](#).

I. Teaching appointments

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

II. Research appointments

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

III. Administrative appointments

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

IV. Approval authority

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

APPOINTMENT AND ADVANCEMENT

**A publication of the
Committee on Academic Personnel
prepared in consultation with the
Associate Vice Chancellor for Academic Personnel
(Revised 08/12)**

This compilation is intended as an aid for the use of Departmental Chairs and ladder faculty. It is not a substitute for the official documents governing appointment and advancement at UCSB, the Academic Personnel Manual and Red Binder, which are authoritative and must be carefully adhered to in personnel actions. Rather it is intended to provide a comprehensive overview of the policies and procedures governing appointment and advancement from the perspective of the Committee on Academic Personnel. Key terms are in **boldface type** to draw attention to their importance; *italics* are used for emphasis.

The official manual governing personnel actions is the Academic Personnel Manual (APM), issued and revised by the President of the University. UCSB campus policies and procedures are contained in the “Red Binder.” The President also issues an annual list of salary scales. These documents are available for reference at <http://www.acadpers.ucsb.edu/> <https://ap.ucsb.edu/>

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I. RANKS, STEPS, AND NORMAL PERIODS OF SERVICE WITHIN STEPS

The information in this summary concerns primarily the faculty in the **professorial ranks**: Assistant Professor, Associate Professor, and Professor. There is a normal period of service for most **steps** within these ranks, as indicated in the following table. However, movement between ranks (**promotion**) or from one step to another within a rank (**merit advancement** or **merit increase**) *depends upon merit. It is never automatic*, and it can be faster than normal in recognition of outstanding performance (an **acceleration**) or delayed when performance is not up to normal (a **deceleration**).

REGULAR RANKS, STEPS, NORMAL PERIODS OF SERVICE

ASSISTANT PROFESSOR (8 year limit, non-tenured)		ASSOCIATE PROFESSOR (6 years normal, tenured)		PROFESSOR (indefinite, tenured)	
<u>Step</u>	<u>Normal period of service</u>	<u>Step</u>	<u>Normal period of service</u>	<u>Step</u>	<u>Normal period of service</u>
I	2 (not used at UCSB)				
II	2				
III	2				
IV	2				
V	2 (over-lapping step)	I	2		
VI	2 (not used at UCSB)	II	2		
		III	2		
		IV	3 (over-lapping step)	I	3
		V	3 (not used at UCSB)	II	3
				III	3
				IV	3
				V	3
				VI	3
				VII	3
				VIII	3
				IX	4

Assistant Professor V and Associate Professor IV are **special steps**. Service at these steps may count as "**time-in-grade step**" in the related steps of the next higher rank; e.g., after two years as Associate Professor IV and one year as Professor I, a candidate may be reviewed for a normal merit increase to Professor II, just as would be done after three years at Professor I. Normal advancement occupies six years at the Assistant Professor rank with eight as the maximum before either promotion or termination; six years at the Associate Professor rank; and an indefinite time in the Professorship.

In addition to the regular steps, some appointments or advancements may be made **Above Scale**, i.e., to salaries above Professor IX. These salaries are reserved for scholars of "the highest distinction, whose work has been internationally recognized and acclaimed." An exceptionally high salary must be approved by the **Board of Regents-President**.

Service at Professor V through IX, or at the **Above Scale salary step** may be for indefinite duration. Accelerated advancement before three years of service at these steps (four years at Step IX and Above Scale) will occur only in exceptional cases. Everyone will be formally evaluated at least once every five years (**a mandatory review**).

Off-scale salary supplements

In special circumstances, an individual may be given an **off-scale** salary, consisting of a **salary supplement** added to the listed salary at the assigned step. A recommendation for such a salary increase must be fully justified by the department or reviewing agencies recommending it. At UCSB off-scale salaries are used to respond to external market conditions in recruitment and retention, as well as to provide a partial reward **for good service** in cases when **promotion or** a full step advancement is not indicated.

II. MATERIALS REQUIRED FOR PERSONNEL ACTIONS

Each time a recommendation for a personnel action is initiated, a **dossier** or **file** containing materials relevant to that recommendation is prepared by the Department Chair. The complete dossier includes the following:

1. The **UCSB Biography** form supplied by the candidate at the time of appointment, which summarizes his/her professional career including salaries up to that time. (*Needed only for appointments*)
2. The updated **Bio-Bibliography** prepared by the faculty member.
3. In certain cases **extramural letters** of appraisal or recommendation from qualified experts evaluating the quality of a person's research or creative work and his/her professional reputation. Such letters are required in all cases of appointment and promotion, and for advancement to Professor VI and Professor Above Scale. A minimum of six analytical letters is required, and at least half should be chosen by the Chair *in consultation with the department* but independent of the candidate. The other half can be nominated by the candidate. It is important that at least some of the external evaluators are familiar with UC standards. For certain advancement cases, UC familiar references are required. The department's submission must include a coded list including a brief resume of the qualifications of each reviewer, indicating whether the reviewer was chosen by the candidate or by the department. This list should also indicate any relationships between the candidate and the reviewer (e.g., thesis advisor, co-author, etc.)

The Chair should have minimum contact with the extramural evaluators beyond the letter soliciting the evaluation, because intended or unintended suggestions or hints to the evaluators may distort results and work unfairly either for or against the candidate.

4. A letter of recommendation initiating the proposed appointment or advancement, normally written by the Department Chair. (When a Chair is under consideration for advancement the case will be handled by a Vice-Chair or other senior faculty member). The Chair's letter should be accompanied by all relevant information, including particularly the signed **Safeguard Statement** in advancement cases.
5. A thorough evaluation of teaching as described in Section V below.
6. A complete set of publications covering the review period, which will be returned to the department at the conclusion of the review. "Review period" in cases for appointment and promotion means the complete record of the candidate (in cases where this is impractical, a complete record of the most recent work and a sample of other significant works may be submitted). For merit review cases "review period" means years at step, ignoring any off-scale salary supplement.

III. THE REVIEW PROCESS

Overview of the reviewing process (many of these steps are not applicable to appointment cases)

1. In the spring the Associate Vice Chancellor for Academic Personnel **sends each department publishes** a list of faculty members eligible for normal advancement or promotion during the coming academic year.
2. The Department Chair notifies each faculty member of his/her eligibility for personnel review. The Chair should also review faculty not on the eligibility list for the possibility of accelerated merit or promotion.
3. The faculty member *either* requests a deferral of action for one year *or* prepares evidence for the review, with the assistance of a departmental personnel committee, or a case supervisor, or the Chair. Deadlines for submission of materials to departments should be set in line with College or Campus deadlines to allow timely processing of cases.
4. The candidate is given the opportunity to respond to the materials in the file.
5. The case is presented and discussed. This is followed by a vote of eligible faculty in accordance with Senate By-Law 55 or other departmental voting procedures approved by CAP.
6. The Chair writes a letter analyzing the case and summarizing the department's recommendation. This letter is available for inspection, amendment, or rebuttal by all eligible department members.
7. A candidate for advancement is given an oral summary or written copy of the departmental recommendation and **provided the opportunity to comment.**

8. **The candidate** completes the Safeguard Statement.
- ~~8.9.~~ A separate **confidential** letter from the Chair should not be submitted except on the rare occasions when evidence exists that could not be appropriately shared in the department letter.
- ~~9. 10.~~ The department letter, along with all publications, teaching evidence and other materials pertaining to this review (the “dossier”) is sent forward to the Dean.
- ~~10. 11.~~ In cases where the Dean does not have final authority, the dossier, including the Dean's letter, is sent to the Office of Academic Personnel, which forwards it to the Committee on Academic Personnel (CAP). CAP assigns the case to one or more members, usually from as similar a field as possible. (Note: cases are *never* assigned to a CAP member who belongs to the candidate's own department; in fact, CAP members are never present during discussion of cases from their own departments.)
- ~~11. 12.~~ In appointments and promotion to tenure, terminations, and advancements to Above Scale, **and sometimes in promotion to Professor and advancement to Step VI**, an ad hoc review committee is appointed by the Chancellor’s designee on nomination from CAP. **CAP may elect to serve as their own internal ad hoc except in the case of a terminal appointment recommendation.**
- ~~12. 13.~~ CAP considers the case *after* the ad hoc committee and the Dean have submitted their letters. If no ad hoc review is required, CAP proceeds once the Dean’s recommendation is received. A draft letter is written by the assigned member, distributed to the whole committee, read aloud, and fully discussed. A vote is taken in the rare cases when a consensus recommendation cannot be reached.
- ~~13. 14.~~ CAP's recommendation is forwarded to the Office of Academic Personnel for the final decision. If the Chancellor's (or designee's) *tentative decision* differs from CAP's and/or the Dean's recommendation, it is sent back to that agency for further comment. If the recommendations vary by \$2,000 or less, the Chancellor (or designee) will not be required to consult further.
- ~~14. 15.~~ The Chancellor's (or designee's) final decision is communicated to the department and the candidate. In certain cases a “Chancellor’s tentative decision” must precede the final decision. (See Red Binder I-39)

Details of the review process

1. **Preparation of the Recommendation:** **(see Red Binder I-35)** Recommendations for personnel actions normally originate with the Department Chair. His/her letter should provide a comprehensive assessment of the candidate's qualifications together with detailed evidence to support the evaluation. The letter should also present a report of the Chair's consultation with the members of his/her department, including the vote tally and the basis for any dissent. The Chair should explain any apparent anomalies in the voting, e.g., a disproportionately small number of votes relative to departmental size, or excessive abstentions.

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

The candidate has the right to augment the dossier with items relevant to the case, so long as the submission does not violate the privacy of third parties or other campus policies. Such materials may include self-assessments, award letters and other professional items. Dissenting department members have the right to have a minority report included with the department letter. However, a minority report should not be submitted unless, after good-faith efforts by all parties, the minority believes that its views are not accurately represented in the Chair’s letter.

The Chair should also communicate with the candidate as required by Section 220-80 of the APM and outlined in “Departmental Checklist for Academic Advancement”, Red Binder I-22. An oral summary or preferably a written copy of the departmental letter is given to the candidate as part of the review process.

2. **The Dean** of the appropriate college or division makes his/her analysis and recommendation without reference to the recommendation of any reviewing agency other than the Department. He/she has access only to the departmental file, to previous departmental letters, and to previous Dean's recommendations. Of course, publicly available scholarly materials are available to all reviewing agencies.

3. On behalf of the Chancellor, An *ad hoc* review committee (nominated by CAP and appointed by the Associate Vice Chancellor for Academic Personnel) is routinely may be formed for cases involving promotion to tenure, tenure appointment, and terminal appointment, and advancement to Professor Above Scale; it is sometimes appointed for promotion to Professor, and for advancement to Professor VI. The membership of such a committee is known only to CAP and to the Chancellor, the Executive Vice Chancellor, the Associate Vice Chancellor for Academic Personnel, and the committee itself. In promotion and appointment cases, the ad hoc review committee includes a representative from the Department who is not present during the final discussion and vote; it normally includes faculty of the same or higher rank and step from related departments. The ad hoc review committee makes its recommendation independently of all other reviewing agencies; it has access only to the file as it comes from the department. It does not have access to the prior personnel review file, to the Dean's letter, or to a separate confidential letter from the Chair, if one was submitted.
4. The Committee on Academic Personnel has access to the analyses and recommendations of all the aforementioned agencies, and to previous recommendations concerning the candidate.
5. The Chancellor (or designee) reviews the recommendations of all reviewing agencies (department, Dean's office, ad hoc review committee, if any, and CAP). If there is an inclination to make a decision which differs from the CAP's or the Dean's recommendation, that agency is informed of the tentative decision and given the opportunity to respond. If the recommendations vary by \$2,000 or less, the Chancellor (or designee) will not be required to consult further. The final decision is communicated to the candidate and the department. (Note: some cases with salaries above a certain level require Regental Presidential approval.)

Each year an aggregate summary of personnel actions taken during the year and the recommendation made at each level of the process is prepared by CAP and is reported to the Academic Senate.

IV. SOME PROCEDURAL MATTERS

1. Requests for Further Information: Any reviewing agency may request additional information or documentation. The Dean sometimes requests such information directly from the Chair; ad hoc review committees and CAP always make such requests through the Associate Vice Chancellor for Academic Personnel. Such requests do not reflect on the merit of the candidate, nor do they imply that the departmental recommendation is not credible. They are meant to make the case file complete. The candidate should be informed of additional materials obtained (APM, Section 220-80-h).

Chairs should take special care to prepare the case thoroughly and properly. Significant delays result from improper or inadequate preparation of cases at the departmental level. When a reviewing agency requests additional information, 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.
2. Reconsideration: In special circumstances, after a decision is made, the Department Chair may begin the process of review again by requesting reconsideration. *Requests for reconsideration must include important additional evidence or documentation of previously mentioned work pertinent to the review period omitted in the original recommendation, such as a major publication, award, etc., or evidence that the decision was not based on a reasonable evaluation of the case.* Sometimes departments may wish to request reconsideration without such evidence in order to show solidarity with the candidate or for similar reasons. This clogs the whole process. *Such requests should not be submitted.*
3. Non-Reappointment: When it is decided that an Assistant Professor should not be reappointed (given a **terminal appointment**), or when a department recommendation for promotion to tenure may be denied, the Assistant Professor is given due notice, in accord with APM Section 220-20-c. Terminal appointments, whether originated by the department or elsewhere, are always given a full review, including consideration by the Dean, ad hoc committee, and CAP. (See APM Section 220-84.)
4. Formal Appraisal: The APM requires that at a certain point in his/her career each Assistant Professor should be appraised. The purpose of the **appraisal** as stated in the APM is:

to arrive at preliminary assessments of the prospects of candidates for eventual promotion to tenure rank as well as to identify appointees whose records of performance and achievement are below the

level of excellence desired for continued membership in the faculty. (Section 220-83.)

This appraisal is normally made during the fourth year of the Assistant Professor's career at the University. When an assistant professor has been appointed at a high step, the department may recommend tenure without a preliminary appraisal, if the record merits it.

The departmental letter concerning an appraisal should contain:

- a. A description and analysis of the candidate's total performance in each of the four areas of evaluation.
- b. An evaluation of that performance as progress toward eventual tenure.
- c. A clear statement that the recommendation of the department is: (a) "continued candidacy for eventual promotion", (b) "continued candidacy with reservations" (which should be specified), or (c) "terminal appointment". An Appraisal decision should never be interpreted as a *promise* of eventual promotion to tenure.

The appraisal recommendation may be integrated into the letter concerning the merit increase ~~or recommendation for terminal appointment~~, provided that the fact that an appraisal has been made is clearly stated.

After the review is completed, the Associate Vice Chancellor for Academic Personnel will provide redacted copies of the review documents to the candidate.

5. Like a recommendation for advancement, a departmental recommendation ~~for no change in rank, step, or salary against advancement~~ must include an evaluation of the case, a summary of the relevant evidence, a summary of departmental views, and a record of the departmental vote.
6. Sometimes a candidate asks not to be reviewed for advancement, i.e., to be granted a **deferral**; ~~in such cases, the Chair should determine whether the candidate's self-evaluation is accurate and should briefly review the available evidence in his/her letter. No person at any rank may go more than five years without a formal evaluation.~~ Except for Assistant Professors, ~~and mandatory reviews~~, deferrals are automatic if no case is submitted by the relevant deadline. *For Assistant Professors, the Chair should determine whether the candidate's self-evaluation is accurate and should briefly review the available evidence in his/her letter. The request is then forwarded to the Dean. No person at any rank may go more than five years without a formal evaluation. Mandatory reviews may not be deferred.*
7. **Reviewing Agency Reports:** *When the candidate signs their safeguard statement, they may request that reviewing agency reports be supplied to them at the close of the case. The reviewer reports will be automatically provided once the case is decided. If the candidate does not make the request at the time the safeguard statement is signed, they may do so at a later date via AP Folio. After a candidate has been notified of the decision in his/her personnel case, she or he may request from the Office of Academic Personnel redacted copies of the reviewing agencies' reports pertaining to the case.* The candidate will already have been given an oral summary or written copy of the departmental letter and of any confidential materials submitted with the file.

V. CRITERIA

The criteria for promotion and advancement are:

- (1) Research and other Professional Creative Work
- (2) Teaching
- (3) Professional Competence, Activity, and Recognition
- (4) University and Public Service

Superior intellectual attainment, as evidenced both in teaching and in research or other creative achievements, is an indispensable qualification for appointment or promotion to tenure positions. Insistence upon this standard is necessary for maintenance of the quality of the University as an institution dedicated to the discovery and

transmission of knowledge. Teaching, research, professional and public service contributions that promote diversity and equal opportunity are to be given *due* recognition in the evaluation of the candidate's qualifications. An individual may not be arbitrarily disadvantaged if he or she elected to take a childbearing or parental leave, to stop the clock, or to defer a personnel review.

1. Evidence of Research and Creative Work:

Research and creative accomplishments should be evaluated in the context of the faculty member's overall record of his/her intellectual growth, and of the contribution his/her work makes to his/her discipline. There should be evidence of continued and effective engagement in work of high quality and significance. No appointment or promotion to a tenured position will be made without evidence of intellectual distinction in research or creative activity. The research record should show growth, direction, and promise for the future.

A work once counted for an advancement cannot be counted again (except in highly unusual and demonstrably appropriate circumstances). The departmental letter must present the publication record for the current review period according to the following format: [A] Published work; [B] Work in press; [C] Work submitted; [D] work in progress. "Work in press" means work that has been formally accepted, completed, and is in the process of being published. In-Press work is counted toward advancement and evidence should be supplied documenting the In Press status. "Work submitted" is work that has been submitted but not yet accepted. This work is not usually counted for the advancement, but it is used as evidence of continuing scholarly productivity. "Work in progress" is work that has not been completed and is available for review. Such work is not counted for the advancement, but it can be used as evidence of continuing research activity. Departmental practice will dictate if work in progress is included in the case. If nonstandard terms such as "forthcoming" are also used, the department must define them carefully and state how they relate to the three categories above. *Not doing this may prevent a candidate from receiving proper credit or cause other anomalies in the review process.*

Classifying works is not always easy, but identification should be as precise as possible, and should refer to intellectual content rather than to physical format. For example, in literature and history a "book" may be an extended piece of research reviewed for publication by expert referees; such a work should be distinguished from editions, anthologies, translations, or collections of other scholars' work. An "article" is normally a piece of research published in a refereed scholarly journal; it should be distinguished from popular pieces, preliminary research reports, reports for industrial or governmental agencies, and chapters (i.e., solicited pieces of an interpretative and summarizing nature). Similarly, in many disciplines, a review-article is normally a survey of current research in the field, not a lengthy book-review; while "editions" may be mere reprints with brief introductions, or they may be major works of historical reconstruction and critical interpretation. In different disciplines the standard terms (and the possibilities of ambiguity) are different; but in every case the classification should be as clear and helpful as possible.

It will help reviewing agencies to accurately evaluate the record if departments comment upon the prestige and significance of journals, publishers, or exhibition or performance venues in particular fields, along with other accepted measures or impact in a discipline (such as citation indexes or reviews).

Textbooks, reports, circulars, and similar publications are normally considered evidence of teaching ability or public service. However contributions by faculty members to the professional literature or to the advancement of professional practice or professional education, should be judged creative work when they present new ideas or incorporate original scholarly research. (APM 210.1.d(2)).

In certain fields such as art, architecture, dance, music, literature, and drama, distinguished creativity should receive consideration equivalent to that accorded to distinction attained in research. In evaluating artistic creativity, an attempt should be made to define the candidate's merit in the light of such criteria as originality, scope, richness, and depth of creative expression. An important element of distinction is the extent of regional, national, or international recognition.

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

2. Evidence of Teaching

According to University policy and the APM, professors at all ranks must have a current teaching record in order to be advanced.

Effective teaching is an essential criterion for advancement or promotion. Clear documentation of ability and diligence in teaching is required.

In judging the effectiveness of a candidate's teaching, the following should be considered: the candidate's command of the subject; continuous growth in the subject field; ability to organize material and to present it with force and logic; capacity to awaken in students an awareness of the relationship of the subject to other fields of knowledge; fostering of student independence and capability to reason; spirit and enthusiasm which vitalize the candidate's learning and teaching; ability to arouse curiosity in beginning students, to encourage high standards, and to stimulate advanced students to creative work; personal attributes as they affect teaching and students; extent and skill of the candidate's participation in the general guidance, outreach and mentoring, and advising of students; effectiveness in creating an academic environment that is open and encouraging to all students. Attention should also be paid to the variety of demands placed on instructors by the types of teaching called for in various disciplines and at various levels, with proper reference to assigned teaching responsibilities. (APM 210.1.d(1)).

The principle in evaluating teaching is that consistency be applied across the campus in order to facilitate appropriate comparisons. However, to accommodate varying departmental needs, the requirement for consistency in reporting is held to a minimum number of items. Beyond that minimum, departments must determine which aspects of evaluation are the most appropriate for them and then must apply these standards consistently in all personnel cases at all levels.

The information used in assessing teaching must be summarized for each case and should include:

- a. Nominal information tabulating the teaching record of the candidate during the review period, including:
 - i. A listing (by course name and catalog number) of the candidate's teaching load, the academic quarters during which the courses were taught, a class-by-class enumeration of the number of students enrolled, and the number completing the two campus wide student survey items (see section b. i)
 - ii. Enumeration of the M.A. and Ph. D. candidates he/she is supervising or has directed to completion of their degrees, the M.A. and Ph.D. committees on which he/she has served, and other contributions to the graduate program.

This nominal information is summarized using the standardized format contained in the bio-bibliographic form.

- b. Evaluative information assessing the teaching record of the individual during the review period must be presented. In order for the numerical scores on the student evaluation forms to not assume disproportionate weight, departments are urged to include as many other criteria as appropriate.
 - i. *Student respondents*: Systematic surveys of student opinions are essential for *all* classes taught by the candidate. These evaluations must be part of the record. The departmental letter must compare the candidate's scores with departmental scores for comparable classes.

Departments may include whatever questions they like, except that:

All student evaluations *must* include at a minimum the following two standard campus wide survey items: (1) *Please rate the overall quality of the instructor's teaching*: (2) *Please rate the overall quality of the course, including its material or content, independent of the instructor's teaching*.

These evaluations must be part of the record and must be supplied for each course taught. To enable and strengthen comparative ratings on a campus wide basis, all student evaluations based on the two campus wide survey items must use a 1-5 scale with 1 high, with the following description explicitly stated on the form: (1) Excellent; (2) Very Good; (3) Good; (4) Fair; (5) Poor.¹

¹ The Office of Instructional Consultation can provide archival data to departments at no cost and in the format indicated as long as the department is using the ESCI system.

Reviewing agencies will return cases to the departments if they do not conform to these guidelines.

- ii. *Departments must also provide other items they judge appropriate for determining the effectiveness of teaching.* APM 210-1 specifies that for promotion to Associate Professor and Professor comments from other faculty members on the candidate's teaching are required.

Suggestions. Open-ended questions asked of graduating seniors, graduate students, or alumni are extremely effective when compiled over time. Graduate student and/or teaching assistant ratings are useful, particularly when these ratings are collected over time and then summarized by a disinterested third party so as to guarantee student anonymity.

Placement of graduate students is one of the best measures of success in graduate teaching.

Peer assessments. On-campus and/or off-campus peer evaluations of the candidate's teaching effectiveness may also be included in the teaching dossier. These assessments may be based on evaluations of syllabi, reading lists, examinations, laboratory reports, class notes, or in-class visitations. If a department chooses such methods, they must be consistently applied at all ranks and steps with regard to principles of academic fairness. No intimidation or chilling effect arising from methodological or ideological postures may be allowed to contaminate the process.

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

Self-Evaluation: The department should encourage the candidate to submit a brief self-assessment of teaching effectiveness. This can include past, present, and future goals and objectives and how these were (will be) met. Details may include philosophy of instruction; strategies used; innovative instructional activities; instructional grants; comments about any strengths or deficiencies suggested by students or peers.

The department should send such self-assessments to reviewing agencies along with the case, or explain why such assessment is impractical.

3. Professional Competence and Activity:

Evidence includes such items as a) election to significant offices of professional or learned societies; b) appointment as editor or referee for professional journals or other publications; c) invitations to lecture, present papers, review books, perform or exhibit; d) awards, grants or honors bestowed by organizations or foundations; e) requests for consultative service. Opinions expressed by extramural evaluators, and reviews of the candidate's work or citations of his/her work by other researchers also constitute evidence of professional recognition. Departments should provide background and context for these accomplishments so reviewing agencies can evaluate their significance and importance.

4. University and Public Service:

The bio-bibliographic update should include a list of the candidate's service (with dates) in departmental, Senate, and administrative capacities (including committee service), and of his/her formal service to the community or to public agencies. Evaluation of the quality of his/her service in these areas is important. Recognition should be accorded faculty for able administration of faculty governance; it should also be accorded for able service to the community, state or nation. Contributions to student welfare, mentorship and to affirmative action efforts should be recognized. Periods of service on various committees should be dated.

Note: Non-tenured faculty should be cautioned against undertaking too many committee assignments, since these may interfere with the two main areas for promotion, research and teaching.

VI. CONFIDENTIALITY AND PERSONNEL SAFEGUARDS

Our system of review depends upon impartial professional judgment, and confidentiality has always been essential to the effective functioning of the system. One reason for confidentiality is that it protects impartial judgments from pressures of other interested parties. At UC, confidentiality applies to the votes and analyses of individual department members; to the authorship of extramural letters of evaluation; and to the membership of ad hoc review committees. **In the past when the confidentiality of an ad hoc review committee has broken down, its recommendations have been disregarded and a new committee appointed.**

Confidentiality, however, is consistent with the rights of candidates to understand the evidence and the criteria upon which they are judged. The details of a candidate's rights in this area are described in APM Sections 160 and 220 and are designed to assure that the use of confidential documents does not cloak abuse.

VII. DEPARTMENTAL VOTING ON PERSONNEL CASES

Departmental voting rights in personnel cases are governed by **SENATE BY-LAW 55** (Santa Barbara Division By Law 240). Substantial differences among departments exist. *Departmental voting plans must be approved by the CAP and be on file in the Office of Academic Personnel.*

VIII. DIVERSITY SELF-ASSESSMENT

The UC system-wide policy regarding the appointment and advancement of its faculty (APM 210.1.d) states: "The University of California is committed to excellence and equity in every facet of its mission. **Contributions in all areas of faculty achievement that promote equal opportunity and diversity** ~~Teaching, research, professional and public service~~ **contributions that promote diversity and equal opportunity are to be encouraged and should be given due recognition in academic personnel process, and they should be evaluated and credited in the same way as other faculty achievements.**" ~~the evaluation of the candidate's qualifications."~~ There is no presumption that all faculty will engage with this opportunity, nor are diversity statements required. If faculty undertake work relevant to APM 210.1.d, it is very helpful to internal and external reviewers to direct their attention to contributions in research/creative activity, teaching, professional activities and service that promote the University's commitment to serving the needs of our increasingly diverse state. As with the teaching self-assessment, the diversity statement is an opportunity to provide context and evidence of impact or effectiveness towards a fuller understanding of those contributions. Simple enumeration of material evident in the file (e.g., lists of activities or students supervised) does not by itself substantially advance the review process in this area. APM 210.1.d-related accomplishments may be cited by reviewing agencies as evidence in making the case for an acceleration, but only if these accomplishments rise above and beyond the normal expectations for the relevant area of review (e.g. research/creative activities, teaching, professional activities and service). Accuracy of the diversity statement is the responsibility of the faculty member, as is the case with the bio-bibliography information generally. The length of diversity statements will depend on the extent and complexity of contributions; an effort should be made to keep the statements succinct.

II-1
UNIT 18, Non-Senate Faculty
Lecturer and Supervisor of Teacher Education Series
(Revised ~~4/15~~)

I. Definition

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

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

II. Ranks and Steps

Lecturer and Senior Lecturer:

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

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

Supervisor of Teacher Education:

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

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

III. Appointment Criteria

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

IV. Term of Appointment

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

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

The employee must also be informed of the following:

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

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

V. Compensation

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

VI. Reappointment and Advancement

- A. Reappointment that commences prior to completion of six years of service in the same department.

A reappointment to one of these titles requires an assessment of the performance of the individual in accord with the department assessment procedures. Assessments are to be made on the basis of demonstrated competence in the field, demonstrated ability in teaching, academic responsibility, and other assigned duties. Reappointment to the Senior Lecturer title also requires service of exceptional value to the University. See Red Binder II-6 for procedural guidelines.

- B. Appointments and reappointments that commence after six or more years of service in the same department.

See Red Binder II-8 for procedures to be followed with respect to resource allocations and Red Binder II-10 for procedures to be followed in the Personnel Review process.

The department must submit annual workload requests for all Continuing Lecturers and Supervisors of Teacher Education to the Dean for approval. The statement must clearly identify any temporary or permanent increases in FTE. (see XI below)

- C. Department Chairpersons have responsibility for administering departmental consideration of personnel actions regarding positions with titles in this series. Departmental evaluations and recommendations regarding appointments and reappointments shall be made pursuant to departmental procedures and in accordance with the Memorandum of Understanding.

VII. Restrictions

- A. Graduate level courses may be taught by appointees to these titles with the approval of the Graduate Council.
- B. Registered UC graduate students may not be appointed to these titles. Degree candidates who are

not currently registered may be appointed as lecturer by exception. Such appointment requires prior approval of the Graduate Division.

- C. Recall appointments as Lecturer or Senior Lecturer may not exceed 43% time, alone or in combination with other recall appointments. Appointments are requested using the [Academic Recall Appointment Form](#). Recall appointments are to be entered into PPS using the Recall: Teaching title (1700).

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

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

IX. Approval Authority

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

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

TO: _____ Dean

FROM: _____ Department Chair

RE: _____ Appointment of _____

The department of _____ proposes the appointment of _____.

Title: _____

Quarters: _____ Academic Year: _____

Percent time: _____ FTE: _____

Annual salary: _____ Current Year Cost: _____

Salary at Previous Appointment: _____

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

Date(s) of Affirmative Action Search(es) _____

Workload (by quarter; including total/quarter)

Course	#Units	Hrs/Wk	Enrollment	Category	#IWC
--------	--------	--------	------------	----------	------

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

Description of non-instructional assignments, if any: _____

Reports to: _____

Qualifications and experience: _____

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

For reappointments also include:

When and by whom was the assessment conducted? _____

Evaluation of teaching: _____

Policy exception request and justification: _____

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

To: Dean

From: Department Chair

Re: Workload assignment for _____, Continuing Lecturer

The Department of _____ proposes the following workload for _____:

Quarters: _____ Academic Year: _____

Percent time: _____ FTE: _____

Annual salary: _____ Current Year Cost: _____

Workload (by quarter, including total IWC/quarter)

Course	# Units	Hrs/Wk	Enrollment	Category	#IWC
--------	---------	--------	------------	----------	------

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

Description of non-instructional assignments, if any: _____

Reports to: _____

II-25
DOCUMENTS TO BE SUBMITTED BY THE CHAIR
CONTINUING EDUCATORS
(Revised 11/13)

APPOINTMENTS

I. Departmental letter of recommendation

Accurate and analytical letters of recommendation from the department are essential in the review process.

See Red Binder I-35 for further detail of content of departmental recommendations:

- Are the dates of the appointment and the level of the appointment clearly stated?
- Is the recommended salary on the published salary scale?
- Is the JPF# from UCRecruit included?*

II. Complete CV and UCSB Academic biography form

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

III. Job Description

- Does the job description address program scope and complexity, degree of independence, level of professional accomplishment required and scope of impact on the campus mission?

IV. Letters of evaluation and list of evaluators

Letters

- Have all letters been coded?
- 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 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?

V. Copies of other supportive documentation

- Has a representative sampling of supporting documentation been submitted?

VI. Recruitment Packet (original only)

- If required by Red Binder VII I, III has the Academic Recruitment Packet been included?

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

REAPPOINTMENTS

I. Departmental letter of recommendation

Accurate and analytical letters of recommendation from the department are essential in the review process.

See Red Binder I-35 for further detail of content of departmental recommendations:

- Are the dates of the appointment and the level of the appointment clearly stated?
- Is the recommended salary on the published salary scale?

II. Job Description

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

III. Affirmative Action Summary (if necessary)

- Has the "Summary B" form been completed, signed, and approved by the Office of Equal Opportunity?
- If an exception to open recruitment is being requested, has it been approved by the Office of Equal Opportunity?

MERITS

I. **Departmental letter of recommendation**

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

- Is the letter signed and dated?
- Is the letter an accurate, extensive, and **analytical** representation of the case?
- If there is a recommendation for an acceleration, are the reasons for the acceleration specifically stated?
- In the case of a negative departmental recommendation, is the basis of the recommendation clearly documented?

II. **Updated CV or Bio-bib**

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

III. **Job Description**

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

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

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), box **6.D.** 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. **Copies of supportive documentation**

- Has a representative sampling of supportive documentation been submitted, including a sampling of Extension Programs developed, teaching evaluations or other one-of-a-kind items as appropriate?

II-28
VISITING PROFESSOR
(Revised 09/13)

I. Definition

The Visiting prefix is used to designate one who:

1. Is appointed temporarily to perform the duties of the title to which the prefix is attached; and
2. Either has held, is on leave from, or is retired from an academic or research position at another educational institution; or whose research, creative activities or professional achievement makes a visiting appointment appropriate.
3. Fits both of the above criteria and is appointed through Summer Session. Summer Session Visiting appointments are covered by separate policies and procedures (Office of Summer Sessions Summer Visiting Faculty Appointment and Review Policies and Procedures, June 12, 2001)

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

II. Appointment Criteria

A Visiting Professor who is on leave or retired from another institution, will normally be appointed at the same rank and step as the individual's title at the home educational institution.

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

Appointment of an individual who has never held a comparable academic or research position elsewhere is subject to CAP review and the approval of the Associate Vice Chancellor for Academic Personnel. Such appointment requests must meet the following criteria:

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

Appointment of an individual who does not either 1) currently hold a comparable academic or research position or 2) is retired from a comparable academic or research position will require an open search.

III. Term of Appointment

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

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

If the appointee is later considered for transfer to a corresponding appointment in the regular series, the

proposal for such transfer shall be treated as a new appointment subject to full customary review.

IV. Compensation

The salary for a visiting position is negotiated. While the salary does not have to be on-scale on the corresponding regular series scale, the salary may not be below the minimum rate for the rank. For example, a Visiting Professor may not be paid below the Professor Step I rate. Because these salaries are negotiated on an individual basis, they are not subject to range adjustments. For travel expense reimbursement, see APM 230-20h.

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

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

Visiting appointments may also be made without salary.

V. Appointment process

Requests for appointment in the Visiting Professor series must include a Departmental letter of recommendation, a UCSB Biography form and either a CV or Bio-bibliography. The Departmental letter must indicate the courses to be taught, the pay rate, the term of the appointment and information concerning the individual's current academic appointment. *The JPF# from UCRecruit should also be included if a search was conducted.*

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

VI. Restrictions

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

VII. Approval Authority

<u>Action</u>	<u>Authority</u>
Appointments up to 6 quarters	Dean
Beyond 6 quarters	Associate Vice Chancellor
Appointments with no prior comparable academic appointment:	
Initial appointment	Associate Vice Chancellor
Reappointment up to 6 quarters	Dean
Beyond 6 quarters	Associate Vice Chancellor

III-7
DOCUMENTS TO BE SUBMITTED BY THE CHAIR
RESEARCH APPOINTMENTS
(Revised 4/15)

All appointment cases are to be submitted via AP Folio.

- I. **Department Letter:** Accurate and analytical letters of recommendation from the department are essential in the review process. See Red Binder I-35 for further detail of content of departmental recommendations
- Are the dates of the appointment, rank and step all clearly stated?
 - Is the recommended salary on the published salary scale?
 - If a request is being made to use the Engineering scale in a non-Engineering unit (RB III-12 V, A, 2) is appropriate justification provided?
 - Is the off-scale supplement correct (if applicable), per off-scale general policies (RB I-8)?
 - If the salary is off-scale or above scale is it rounded to the nearest \$100 for the Research and Project Scientist series?
 - If a vote was taken, 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?
 - Does the departmental letter, provide thorough justification for the rank, step, and salary requested?
 - Does the departmental letter provide an accurate, extensive, and **analytical** representation of the candidate's qualifications?
 - If the case contains extramural letters, are letter writers identified **only** by coded list, with no identifying statements?
- II. **Extramural letters of evaluation and list of evaluators** for appointment at the Associate and full level as required (Red Binder I- 46)
- Extramural Letters**
- Are the required number of letters included, including letters from UC or UC familiar referees when appropriate (RB III-12, III-14, III-16)
 - Are at least half of the letters from references chosen by the Chair/Dept independent of the candidate?
 - Have all letters been coded, on all copies?
 - If the letters were sent via email, is a copy of the email and any attachment included?
- Sample Solicitation Letter(s) and/or thank you letter(s) for unsolicited letters**
- Was the proper wording used in the letter (RB I-49 to I-50, III-12, III-14, III-16)
 - Is a list of all informational items sent to referees (e.g. CV, Bio-Bib, publications sent, etc, per RB I-51) 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** (RB I-46-V)
- Do the codes on the letters match the codes on the list and the codes used in the departmental letter?
 - Does the list clearly indicate if the referees were candidate, department or jointly selected?
 - Are the names of everyone who was asked to write included? For those who did not respond is a reason for no response listed?
- III. **Complete CV and UCSB Academic biography form.**
- Is the CV up to date?
 - Is the UCSB Academic biography form complete, signed and dated?
- IV. **Copies of publications**
- Has a representative sampling of publications been submitted?
- V. ~~**Recruitment Packet (original only)**~~
- ~~If required by Red Binder VII I, III has the Academic Recruitment Packet been included?~~

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

III-8
TYPES OF REVIEW
(Revised 05/14)

On-time merit advancement

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

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

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

Other reviews

I. **Accelerated actions**

Departments should not hesitate to propose accelerated advancement to reward cases of superior performance. Early advancement to the next step or rank is the appropriate form of acceleration. The addition of, or an increase in, off-scale supplement will also be considered an acceleration. Departments should review candidates performing at a superior level in advance of their normal eligibility for merit increase or promotion.

II. **Decelerated actions**

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

III. **Promotion to the Associate level**

Professional Research Series:

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

Project Scientist and Specialist Series:

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

IV. **Promotion to Full**

Professional Research Series:

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

Project Scientist and Specialist Series:

Advancement to Project Scientist requires competency and an expanding level of independence. Advancement to Specialist requires the candidate to provide **considerable** independent input into the planning and execution of the research **and have a significant record of academic accomplishments.**

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

VI. **Merit to or within Above Scale**
Advancement to Above Scale is reserved for scholars of the highest distinction whose work has received international recognition. Advancement to Above Scale will normally occur after at least four years of service at the highest step within the full level rank of the series with the individual's complete academic career being reviewed. The guidelines for Senate Faculty increase to and above Scale (Red Binder I-43) apply to Researcher above scale actions. Criteria for Above Scale advancements for Project Scientists and Specialists shall be consistent with the criteria established for each series.

Professional Research Series only:

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

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

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

III-12
PROFESSIONAL RESEARCH SERIES
(Revised 4/15)

I. Definition

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

II. Ranks and Steps

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

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

III. Appointment and Advancement Criteria

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

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

IV. Term of Appointment

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

V. Compensation

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

disciplinary activity (for example: CNSI, ICB, MATP). In this case two additional criteria must be met: a) The individual's background and training is in engineering or economics, and b) The project with which the individual is associated is an engineering or economics project.

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

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

VI. Requests for Appointment, Reappointment, and Advancement

Appointment

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

Reappointment

Reappointments are to be submitted via the reappointment and modification module of AP Folio. The timing of the reappointment will be based on the original start date of the appointment and/or the availability of funding.

Advancement: Merit and Promotion

Advancement cases are to be submitted via AP Folio and using the checklist of documents to be submitted by the chair for research reviews (Red Binder III-9). Red Binder I-22, Departmental Checklist for Academic Advancement may also be used as a guideline for departmental review. All advancement actions are based on the individual's achievements. Normal advancement will occur after 2 years at step at the Assistant or Associate level and after 3 years at the Full Research level steps I-VIII, and after 4 years at step IX or within Above Scale. Any advancement requested prior to that time will be considered an acceleration and must be justified as such. Merit increases are based on the academic record since the time of last review while promotions, merit to Researcher VI and merit to Researcher Above Scale are based on the career academic record.

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

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

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

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

Chair/Director Letters of Recommendation

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

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

Bio-Bibliography

It is the responsibility of each Researcher to maintain an up to date bio-bibliography (bio-bib). The bio-bib should contain information ending at the **campus cut-off date of December 31, or cut-off the** date established by the candidate's department **if an earlier date has been established.** Information that falls beyond that date will not be considered in the review. Bio-bibs must follow the bio-bib template available in the Forms section of the Academic Personnel web-site, and the instructions in Red Binder I-27 excluding the Teaching section

External Evaluation

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

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

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

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

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

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

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

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

evaluation request: e.g., I would greatly appreciate your evaluation of _____'s work]

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

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

VII. Approval Authority

Action

Authority

All actions

Associate Vice Chancellor for Academic Personnel

III-14
PROJECT SCIENTIST SERIES
(Revised 4/15)

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

Appointment cases are to be submitted via AP Folio and using the checklist of documents to be submitted by the Chair for appointments (Red Binder III-7). Particular attention should be paid to assuring the department provides justification for the level of appointment and analytical evaluation of the candidate and his or her accomplishments.

Reappointment

Reappointments are to be submitted via the reappointment and modification module of AP Folio. The timing of the reappointment will be based on the original start date of the appointment and/or the availability of funding.

Advancement: Merit and Promotion

Advancement cases are to be submitted via AP Folio and using 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 **campus cut-off date of January 31, or cut-off the** date established by the candidate's department **if an earlier date has been established.** Information that falls beyond that date will not be considered in the review. 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 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. Due to the nature of Project Scientist positions, it is possible that in some cases solicitation of 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 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

All actions

Authority

Associate Vice Chancellor for Academic Personnel

III-16
SPECIALIST SERIES
(Revised 4/15)

I. Definition

The Specialist series is used for academic appointees who engage in specialized research, *professional activity, and University and/or public service*, 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 and Advancement Criteria

Appointees to the Specialist series *are expected to use their professional expertise to make scientific and scholarly contributions to the research enterprise of the University and to achieve recognition in the professional and scientific community. Specialists may participate in University and/or public service depending upon funding source and the duties of the position. ~~provide research projects with special skills, experience, and knowledge.~~*

The following qualifications are general guidelines for each rank:

Junior Specialist: Appointees should possess a baccalaureate degree (or equivalent degree) or have equivalent research experience. Appointees at this level enable research as part of a team

Assistant Specialist: Appointees should possess a master's degree (or equivalent degree) or have five years of experience demonstrating expertise in the relevant specialization. Appointees at this level enable research as part of a team and may provide some independent input into the planning and execution of the research.

Associate Specialist: Appointees should possess a master's degree (or equivalent degree) or have five to ten years of experience demonstrating expertise in the relevant specialization. Appointees normally provide considerable independent input into the planning and execution of the research, have a record of academic accomplishments, including contributions to published research in the field, and a demonstrated record of University and/or public service.

Specialist: Appointees should possess a terminal degree (or equivalent degree) or have ten or more years of experience demonstrating expertise in the relevant specialization. Appointees normally provide considerable independent input into the planning and execution of the research, have a significant record of academic accomplishments, including contributions to published research in the field, and a demonstrated record of University and/or public service.

Specialists appointed into the series prior to July 1, 2015 are not subject to the degree and experience requirements listed above.

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 the defined area of expertise and specialization, 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 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. Requests for Appointment and Advancement

Appointment

Appointment cases are to be submitted via AP Folio and using the checklist of documents to be submitted by the Chair for appointments (Red Binder III-7). Particular attention should be paid to assuring the department provides justification for the level of appointment and analytical evaluation of the candidate and his or her accomplishments.

Reappointment

Reappointments are to be submitted via the reappointment and modification module of AP Folio. The timing of the reappointment will be based on the original start date of the appointment and/or the availability of funding.

Advancement: Merit and Promotion

Advancement cases are to be submitted via AP Folio and using 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. *Advancement to Above Scale status involves an overall career review and requires work of sustained and continued excellence with national or international recognition, outstanding professional achievement, and highly meritorious service. See Red Binder I-43 for further guidance regarding Above Scale status.*

*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 Specialist 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 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 *campus cut-off date of January 31, or cut-off the* date established by the candidate's department *if an earlier date has been established*. Information that falls beyond that date will not be considered in the review. 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~~ *specialized research*, 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 4/15)

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](#) 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 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 Academic Personnel of appointment or reappointment, the Department must provide the Postdoctoral Scholar with an appointment or reappointment letter using the sample found at <https://ap.ucsb.edu/resources.for.department.analysts/postdoctoral.scholar.appointments/> 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 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 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.

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 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

Associate Vice Chancellor, Academic Personnel

IV-1
STUDENT ACADEMIC TITLES
General Information
(Revised 09/13)

I. Academic Student Employee agreement

Appointees to the titles of Teaching Assistant, Associate in___, Reader, and Remedial Tutor are covered by the Memorandum of Understanding (MOU) between the University and the UAW. The full contract is available on the Academic Personnel website at <https://ap.ucsb.edu/policies.and.procedures/collective.bargaining.agreements/> .

Graduate Student Researchers are not covered by the MOU.

II. Employment Eligibility

- A. *Student appointees must maintain good academic standing. Good academic standing requires a grade-point average of at least 3.0 in academic work, fewer than 12 units of incomplete or no grades, and status within normative time and/or time to degree standards*
- B. *Student appointees must be enrolled in a minimum of 8 units in a recognized program of graduate study, and must be within the appropriate degree deadlines. Exceptions may only be granted by the Dean of the Graduate Division.*

III. Limitations on Service

- A. The appointment or reappointment of a student in an academic title must be at half-time (50%) or less for the period of one year or less. Percent time limitations apply to all appointments or combined appointments *in any employment title*. Exceptions are granted only as outlined in the Red Binder sections on specific titles. *There are no exceptions to the 50% time restriction for non-citizens or appointees to the Associate title.*
- B. The total length of service rendered as a Teaching Assistant or Associate in any combination of the two titles may not exceed four years (i.e., 12 academic year quarters.) Exceptions may be requested for an additional two years (6 academic year quarters), but in no case for more than 18 quarters.

IV. Pay Schedule

- A. *Student teaching appointments (Teaching Assistant, Associated, Reader) are academic year appointments and are paid on a 9/9 basis.*
- B. The *pay period for* Fall quarter ~~pay period~~ for Teaching Assistants and Associates may consist of four months, ~~that is,~~ September 1 through December 31, allowing students to receive their first check on October 1. The monthly amount of pay for four months of fall quarter is adjusted accordingly so that the total quarterly payment remains the same. Winter and Spring quarters remain on a *three month schedule 9/9 pay basis*. The four-month pay period for Fall is optional. The appropriate payroll paperwork must be processed before mid-September if the four-month Fall schedule is to be used. ~~If paperwork cannot be processed before that time, the three month schedule must be used and the student will receive their first paycheck on November 1.~~
- C. *Graduate Student Researchers are appointment on a fiscal year (11/12) basis. The appointment start and end dates should coincide with the actual service begin and end dates.*

V. Benefits

- A. *Graduate student employees covered by the MOU are eligible for fee remission in accord with the MOU. Graduate Student Researchers are eligible for fee remission in accord with Red Binder IV-10.*
- B. Graduate students with appointments in covered titles are eligible for leaves of absence from their employment as outlined in Article 17 of the contract. Requests for leave should be made in writing, addressed to the supervisor as soon as the need for the leave is known. Leaves are granted only with approval of the Departmental Chair.

- C. Eligible graduate students with appointments in covered titles may receive reimbursement of allowable child-care related expenses in accord with Article 4 of the contract. Eligible graduate students in non-represented titles may receive reimbursement of allowable child-care expenses in accord with the Graduate Student Researcher reimbursement program. A child care reimbursement form and appropriate attachments must be submitted to the department. Forms and additional information are available on the Academic Personnel web site at <https://ap.ucsb.edu/resources.for.academic.employees/forms/>

IV-3
ASSOCIATE IN _____
(title code 1506)
(Revised 08/12)

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

I. Definition

This title is assigned to registered UC graduate students employed temporarily to give independent instruction *of a course*.

II. Appointment Criteria

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

~~A. A. Appointees to the Associate title are subject to all eligibility requirements listed in Red Binder IV-1~~

~~B. Appointment to the Associate title is limited to a maximum of 50%. If a registered student is appointed by any campus in this and any other appropriate academic title, the combined appointments may not exceed half time.~~

~~C. Appointment to the Associate title requires maintenance of good academic standing. Good Academic standing requires a (grade point average of at least 3.0 in academic work, fewer than 12 units of incomplete or no grades, and status within normative time and/or time to degree standards).~~

~~D. Current enrollment in a minimum of 8 units in a recognized program of graduate study within the appropriate degree deadlines is required for appointment.~~

~~E. B. The minimum qualifications for appointment to the Associate title shall be possession of a Master's degree, or advancement to candidacy, and at least one year of teaching experience.~~

~~F. C. Appointees must be within the Departmental and Graduate Council approved number of years for both advancement to candidacy and degree completion as specified in Academic Senate Regulation 350A.~~

III. Terms and Conditions of Employment

A. Normally an Associate will conduct the entire instruction of a course. ~~An Associate may not give an upper division course except with the approval of the Undergraduate Council. An Associate may not be assigned an upper-division undergraduate or graduate-level course without the approval from the Committee on Courses and General Education (CCGE).~~

B. Associates may not evaluate fellow graduate student appointees (i.e., Teaching Assistants). For courses in which Teaching Assistants are appointed, a specific faculty member must be named to be responsible for evaluation and mentorship of the Teaching Assistants.

C. This appointment does not imply the responsibility of engaging in research.

~~D. Appointments as an Associate are subject to the limitations of service described in Red Binder IV-1.~~

~~D. Doctoral students must be within the Departmental, Graduate Council approved number of years for both advancement to candidacy and degree completion as specified in Academic Senate Regulation 350A.~~

IV. Personnel Actions

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

B. The start date for students employed in this title will be either September 1 or October 1 for fall quarter, January 1 for winter quarter, and April 1 for spring quarter. Payment of students will be at the 1/9th rate.

B. Appointees shall be notified in writing of their appointment. The written notice of appointment shall include all information required by Article 2 of the Memorandum of Understanding as well as appropriate supplemental documentation. Sample letters are available on the Academic Personnel web site at: <https://ap.ucsb.edu/resources.for.department.analysts/graduate.student.appointments/>

C. Appointment packets should include the following:

- ~~Department Letter of Recommendation- Associate Appointment Form~~
- UCSB Biography form with initial appointment in department (original plus one copy)
- Teaching Evaluations
- Graduate transcript
- Current CV
- Course Syllabus

D. Appointment requests that include the following exceptions must include an endorsement from the student's home academic department.

- On warning status
- Beyond normative time
- Appointment in quarters 13-15

E. Any changes to the appointment must be communicated to the appointee in writing.

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

V. Compensation

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

B. Salaries are subject to range adjustment.

C. A graduate student who is appointed as an Associate for 25% time or more during an eligible academic quarter will qualify for partial fee remission and payment of student health insurance.

VI. Approval Authority

Action

Authority

All Actions

Dean, with prior approval of the Dean of the Graduate Division appropriate endorsements for exceptions*

*Endorsements

Dean, Graduate Division: Academic Probation, four or more quarters beyond time to degree, employment beyond 15 quarters

Academic Senate (CCGE): Teaching an upper-division or graduate-level course

(remove and change to online form)

VII. Sample Chair's letter for Associate appointment (remove and change to online form)

TO: _____ Dean

VIA: _____ Graduate Division

FROM: _____ Chair

RE: _____ Appointment of _____

E mail address of departmental contact: _____

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

Quarter/Academic Year: _____

Percent time: _____ FTE: _____
(%/3 x number of quarters)

Annual salary _____ Current Year Cost: _____
(Salary Scale #19) (Annual salary/3 x % time x number of quarters)

ASSIGNMENTS:

For each course, provide the following:

Course Number	Title	#Units	Hrs/Wk enrollment	Max for	Required majors?	Normally taught by
_____	_____	_____	_____	_____	_____	_____

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

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

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

— If yes:

Number of TAs _____

TA faculty mentor and evaluator (required): _____

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

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

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

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

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

APPOINTMENT CRITERIA:

Quarter first enrolled in UCSB graduate program: _____ Overall GPA: _____

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

Date Masters received: _____

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

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

Approved by Graduate Division: (date) _____

Approved by CUAPP: (date) _____

Approved by Dean: (date) _____

IV- 6
TEACHING ASSISTANTS
(Revised 08/12)

The policies on this series are set forth in Academic Personnel Manual (APM) 410 and the Memorandum of Understanding between the University and the UAW. At UCSB, the application of this policy is outlined in the following:

I. Definition

A teaching assistant is a registered UC graduate student in full-time residence, chosen for excellent scholarship and for promise as a teacher, and serving an apprenticeship under the supervision of a regular faculty member.

II. Appointment Criteria

~~A. The basic criteria for appointment are embodied in the definition of the series. In addition, appointees to the Teaching Assistant title are subject to all eligibility requirements listed in Red Binder IV-1. Each proposed appointment or reappointment is subject to certification by the Dean of the Graduate Division that the following conditions have been met:~~

~~A. Maintenance of good academic standing. Good academic standing requires a grade point average of at least 3.0 in academic work, fewer than 12 units of incomplete or no grades, and status within normative time and/or time to degree standards. After a year or more of graduate work, the graduate record will be substituted for the candidate's undergraduate record in appraising scholarly performance.~~

~~B. Current enrollment in a minimum of 8 units in a recognized program of graduate study within the appropriate degree deadline.~~

~~B. Appointees must be within the Departmental and Graduate Council approved number of years for both advancement to candidacy and degree completion as specified in Academic Senate Regulation 350A.~~

~~C. Master's students must be within the four year time limit set for the master's degree as stated in Academic Senate Regulation 300A .~~

~~D. Students must be certified as having language proficiency in spoken English if their native language is not English. Additional details are available on the Graduate Division web site [add link](#)~~

~~E. After a year or more of graduate work, the graduate record will be substituted for the candidate's undergraduate record in appraising scholarly performance.~~

III. Terms and Conditions of Employment

A. The Teaching Assistant is responsible for conducting a lecture, laboratory, or quiz section under the active tutelage and supervision of a regular member of the faculty to whom final responsibility for the course's entire instruction, including the performance of teaching assistants, has been assigned.

B. A Teaching Assistant is not responsible for the instructional content of a course, for selection of student assignments, for planning of examinations, or for determining the term grade for students. The Teaching Assistant is not to be assigned responsibility for instructing the entire enrollment of a course or for providing the entire instruction of a group of students enrolled in a course.

C. Occasionally an experienced Teaching Assistant may be assigned other or additional duties such as coordinating other TAs, developing pedagogical content (e.g., for labs or discussion sections), ensuring consistent grading across multiple TAs, or responding to individual student requests for DSP or other accommodations. These duties may be attached to a specific course or to a group of related courses. Individuals performing these duties may be given the working title of "lead TA"

~~D. Appointments as an Associate are subject to the limitations of service described in Red Binder IV-1. Employment is limited to a maximum of 50% time, either in teaching assistant positions alone, or in~~

combination with any other appointment at the University. Department chairs may approve exceptions up to 75% time. Employment beyond 75% must be approved by the Dean of the Graduate Division.

E. A Teaching Assistant with an appointment of 50% or less may not be assigned a workload of more 220 hours in a quarter, 40 hours in any one week, or 8 hours in any one day. The number of hours in excess of 20 hours per week may not total more than 50 hours per quarter.

F. Master's students must be within the four year time limit set for the master's degree as stated in Academic Senate Regulation 300A.

G. Doctoral students must be within the Departmental, Graduate Council approved number of years for both advancement to candidacy and degree completion as specified in Academic Senate Regulation 350A.

IV. **Terms of Employment Personnel Actions**

A. Appointment as a Teaching Assistant is for one academic year or less, and is self-terminating. The employee must be informed of the following: *"This appointment is contingent on the appointee being a registered graduate student in good standing for the duration of the appointment"*.

B. Appointees shall be notified in writing of their appointment. The written notice of appointment shall include all information required by Article 2 of the MOU as well as appropriate supplemental documentation. Sample letters are available on the Academic Personnel web site at: <https://ap.ucsb.edu/resources.for.department.analysts/graduate.student.appointments/>

C. Appointment requests that include the following exceptions must include an endorsement from the student's home academic department.

- On warning status
- Beyond normative time
- Appointment in quarters 13-15
- Appointment at above 50% time

D. Any changes to the appointment must be communicated to the appointee in writing.

V. **Supervision and review**

The selection, supervision and training of all student-teachers is an important responsibility of the teaching department, and in particular of the department chairperson. All candidates for appointment and reappointment should be subject to careful review and recommendation, either by the department as a whole or by a responsible committee.

In order to ascertain the quality of the teaching assistant's work and to make improvements when necessary regular review is necessary. The faculty member with responsibility for the course should periodically visit the lecture and laboratory sections of the course to gain a basis for appropriate review.

Written evaluation of the teaching assistant should be provided by the overseeing faculty member on a quarterly basis. These evaluations should be included in any consideration for reappointment.

VI. **Compensation**

- A. Individuals appointed to this title are compensated at the published Teaching Assistant rate on the Academic Salary Scales at the 1/9th rate.
- B. Salaries are subject to range adjustment.
- C. "Lead TA" duties are to be compensated at the Teaching Assistant rate. The percentage of appointment in the TA title should be proportionate to the hours of work needed to perform all Teaching Assistant duties.

D. A graduate student who is appointed as a Teaching Assistant for 25% time or more during an eligible academic quarter will qualify for partial fee remission and payment of student health insurance.

VII. Approval authority

Action

Authority

All normal actions and exceptions other than those listed below

Department Chair, with Graduate Division certification post-audit

Students on Academic Probation Dean, Graduate Division
Appointment over 75% time
Employment beyond 15 quarters
Four or more quarters beyond time to degree

Exceptions:

— Employment up to — Department Chair
75% time

— Employment in — Department Chair
quarters 13-15

— Employment while on warning — Department Chair
status, but not on probation

— All other exceptions — Prior approval from Dean, Graduate Division

IV-8
READER
(Revised 04/13)

The policies on the use of the Reader title are set forth in APM 420 and the Memorandum of Understanding between the University and the UAW. At UCSB, the application of this policy is outlined in the following:

I. Definition

A Reader will normally perform such duties as grading student papers and exams. A Reader will not be given responsibilities normally assigned to a Teaching Assistant or Associate.

II. Appointment Criteria

Readers will usually be graduate students; however, qualified undergraduates or non-students may be employed to meet special needs *or when graduate students are not available*. Readers are subject to the provisions of the Memorandum of Understanding regardless of student status. Readers will be paid on an hourly basis according to the published salary scales.

~~Graduate Student Readers must maintain at least a 3.0 GPA.~~

Title code **2850 (Reader- Gship)** is to be used for graduate student appointments.

Title code **2851 (Reader- non-Ghip)** is to be used for undergraduate appointments *and for graduate student appointments that do not meet the fee remission threshold*.

Title code **2500 (Reader-non-student)** is to be used for non-student appointments.

III. Terms and Conditions of Employment

A. *Readers are subject to the provisions of the Memorandum of Understanding regardless of student status.*

B. *Appointments as a Reader are subject to the limitations of service described in Red Binder IV-1.*

C. *Readers may not be assigned a workload of more than 40 hours in one week or 8 hours in one day.*

~~The total combined appointments of a Reader who is a registered student may not exceed 50% time.~~

IV. Terms of Employment Personnel Actions

~~A. Graduate Student Readers must work a minimum of 100 hours during a quarter in order to be eligible for the applicable benefits.~~

A.. Appointees shall be notified in writing of their appointment. The written notice of appointment shall include all information required by Article 2 of the MOU as well as appropriate supplemental documentation. Sample letters are available on the Academic Personnel web site at: <https://ap.ucsb.edu/resources.for.department.analysts/graduate.student.appointments/>

B. *Appointment requests that include an exception to appoint beyond 50% time must include an endorsement from the student's home academic department.*

C. *Any changes to the appointment must be communicated to the appointee in writing.*

V. Compensation

A. Readers are compensated on an hourly basis according to the published salary scales.

B. A graduate student who is appointed as a Reader for 25% or more during the academic quarter will qualify for partial fee remission and payment of student health insurance.

VI. Approval authority

Action

Authority

All Actions

Department Chair (post-audit of graduate student appointments by Graduate Division)

IV-9
REMEDIAL TUTOR
(11/15)

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

I. Definition

This title is assigned to registered UC graduate and qualified undergraduate students employed temporarily to assist students in understanding course concepts, discovering solutions to problems, modeling study strategies, developing methods for independent work, and preparing for upcoming exams.

II. Appointment Criteria

Tutors will usually be graduate students; but qualified undergraduate students may be so employed.

Title codes **2288 and 2289 (Remedial Tutors I & II – Gship)** is to be used for graduate student appointment

Title codes **2280 and 2290 (Remedial Tutors I & II – non-Gship)** is used for graduate student appointment – no fee remission and undergraduate student appointment

III. Terms and Conditions of Employment

- A. Tutors are subject to the provisions of the Memorandum of Understanding regardless of student status.
- B. Appointment as a Tutor are subject to the limitation of service described in Red Binder Section IV-1.
- C. Remedial Tutors shall not be assigned a workload of more than 40 hours in any one week or assigned to work more than eight (8) hours in any one day.

IV. Personnel Actions

- A. Appointees shall be notified in writing of their appointment. The written notice of appointment shall include all information required by Article 2 of the MOU as well as appropriate supplemental documentation. Sample letters are available on the Academic Personnel web site at: <https://ap.ucsb.edu/resources.for.department.analysts/graduate.student.appointments/>
- B. Appointment requests that include an exception to appoint beyond 50% time must include an endorsement from the student's home academic department.
- C. Any changes to the appointment shall be communicated to the appointee in writing.

V. Compensation

- A. Individuals appointed to this title are compensated on an hourly basis according to the published salary scales.
- B. Tutors shall be guaranteed pay for the entirety of any pre-scheduled tutoring timeslot.
- C. A graduate student who is appointed as a Tutor for 25% time or more during an academic quarter will qualify for partial fee remission and payment of graduate health insurance.

VI. Approval Authority

Action

Authority

All Actions

Department Chair

DOCUMENTS TO BE SUBMITTED BY THE CHAIR
ACADEMIC COORDINATORS

(Revised 4/15)

All appointments and advancements are to be submitted via AP Folio

APPOINTMENTS

I. Departmental letter of recommendation

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

- Are the dates of the appointment, rank and step all clearly stated?
- Is the recommended salary on the published salary scale?

II. Complete CV and UCSB Academic biography form

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

III. Job Description

- Does the job description address program scope and complexity, degree of independence, budgetary responsibility, level of professional accomplishment required and scope of impact on the campus mission (See APM 375, Appendix A)?

IV. Copies of other supportive documentation

- Has a representative sampling of supporting documentation been submitted?

V. Recruitment Packet

- If required by Red Binder VII I, III has the Academic Recruitment Packet been included?
- If an exception to open recruitment is being requested, has it been reviewed by the Office of Equal Opportunity?

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

MERITS AND PROMOTIONS

I. Departmental letter of recommendation

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

- Is the letter an accurate, extensive, and **analytical** representation of the case?
- If there is a recommendation for an acceleration, are the reasons for the acceleration specifically stated?
- In the case of a negative departmental recommendation, is the basis of the recommendation clearly documented?
- Is all relevant information from the Departmental letter accurately entered on the case up-load screen?

II. Updated CV or Bio-bib

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

III. Job Description

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

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

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

- Has the candidate signed the safeguard statement? The case may not be forwarded until the candidate has signed.
- If there are confidential documents (e.g. letters of evaluation), the appropriate box under #5 and #6 should be checked.
- Are copies of everything the candidate has provided, or been provided, included with the case (e.g. redacted letters, list of potential evaluators)?

V. **Copies of supportive documentation**

- Has a representative sampling of supportive documentation been submitted?

**DOCUMENTS TO BE SUBMITTED BY THE UNIVERSITY LIBRARIAN
ASSISTANT & ASSOCIATE UNIVERSITY LIBRARIANS**

(Revised 10/10)

APPOINTMENTS

I. Letter of recommendation

Accurate and analytical letters of recommendation are essential in the review process.

- Are the start date of the appointment and the salary clearly stated?
- Is an analytical analysis of the person's qualifications included?
- Is the JPF# from UCRecruit included?*

II. Complete CV and UCSB Academic biography form

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

III. Copies of other supportive documentation

- Has a representative sampling of supporting documentation been submitted if appropriate?

IV. ~~Affirmative Action Summary. (original only)~~

- ~~Has the Recruitment Packet been completed and signed by all appropriate offices?~~
- ~~If an exception to open recruitment is being requested, is it attached and has it been reviewed by the Office of Equal Opportunity?~~

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

MERITS AND PROMOTIONS

I. University Librarian letter of recommendation

Accurate and analytical letters of recommendation are essential in the review process.

- Is the letter signed and dated?
- Is the letter an accurate, extensive, and **analytical** representation of the case?
- Are both the type of recommendation (merit, promotion, no change, other) and the justification for the recommendation clearly stated?
- In the case of a negative recommendation, is the basis of the recommendation clearly documented?

II. Updated UCSB Academic Biography form

- Is the UCSB Academic biography form complete, signed and dated?

III. Safeguard Statement (RB III-5)

A signed safeguard must be forwarded with each departmental recommendation. If it is difficult or impossible to obtain this document, the University Librarian 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 confidential documents (e.g. letters of evaluation), the appropriate box under #5 and #6 should be checked.

IV. Candidate's self evaluation

- Does the evaluation cover the accomplishments and contributions for the full review period?

V. Letters of evaluation

If letters were solicited

- Are copies of all letters received included?
- Is a list of letter writers, including a brief biography, and indicating who selected the writers included?
- Was the candidate provided with redacted copies of the letters?

VI. Copies of supportive documentation

- Has a representative sampling of supportive documentation been submitted if appropriate?

V-17
ADJUNCT PROFESSOR SERIES
(Revised 09/13)

I. Definition

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

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

II. Appointment Criteria

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

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

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

III. Term of Appointment

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

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

The following policies apply to all without salary Adjunct appointments

IV. Restrictions and review process

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

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

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

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

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

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

The following policies apply to all salaried Adjunct appointments

V. Ranks and Steps

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

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

VI. Compensation

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

VII. Restrictions

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

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

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

tenure, and are not eligible for sabbatical leave.

E. Paid Adjunct appointments are subject to open search requirements as defined in Red Binder VII-1.

VIII. Appointment and Advancement

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

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

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

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

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

IX. Approval Authority

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

Associate, Full Appointments
Promotions

Associate Vice Chancellor

Exceptions to State funding limits

Associate Vice Chancellor

VI-1
LEAVES OF ABSENCE
(Revised 4/15)

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. All faculty (Senate and non-senate) 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 three 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 seven calendar days (other than vacation and 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, Lecturers PSOE, and Assistant Researchers

- A. Childbearing, Parental Leave or a combination of both, of one quarter or more whether with or without salary, is automatically excluded from service toward the eight-year probationary period. The employee (Assistant Professor, Lecturer PSOE, or Assistant Researcher) must inform the Department Chair in writing within one quarter of the completion of 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 clock and the employee should not be expected to produce any additional materials/ publications because of the lengthening of the probationary period. Any materials/publications that are produced, however, should be considered in the next appropriate review.
- B. Periods of Active Service-Modified Duties are included as service toward the eight-year probationary period.

C. Upon request of an employee 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 employee 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 as noted in A. above, 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.)

VI-8
ACADEMIC LEAVE ACCRUAL CODES
 (Revised 01/09)

<u>Type of Appointment</u>	<u>Accrual Code</u>
Appointments made on 9/12 or 9/9 basis:	N
Academic Coordinators 9/9	F
Academic Coordinators 9/12	F*
<i>All other 9/9 and 9/12 appointments</i>	N
Appointments made on 11/12 basis (other than GSR):	
Less than 6 months, less than 50% time	N
Less than 6 months, 50% time or more	F
6 months or more, less than 50% time	N
6 months or more, 50% time or more	D
Graduate Student Researchers:	
Less than 12 months at any percent time	N
12 months or more, less than 50%	N
12 months or more, 50% or more	E
Postdoctoral Scholars	N
(note: Postdoctoral Scholars accrue sick leave but it must be tracked outside of the payroll system)	

N= no vacation, no sick leave

D= 16 hours vacation, 8 hours sick leave at full time. Prorate based on percent time.

E= 16 hours vacation at full time. Prorate based on percent time. No sick leave accrual

F= No vacation. 8 hours sick leave at full time. Prorate based on percent time.

*For 9/12 Academic Coordinators sick leave is only accrued for the 9 months of service. Accrual must be manually adjusted at this time to equal 6 hours per month over the 12 months of pay *or 8 hours per month for only the months of service.*

VI-9
COMPENSATION
(new)

Move current chart VI-9 out of RB onto website as resource

Academic- year appointment

An academic –year appointment, is appropriate for an individual who’s responsibilities are aligned with the academic year,(i.e fall, winter, and spring quarters.) Teaching appointments and some academic coordinator appointments are academic- year appointments. Appointments can be made on a 9/9 (nine paycheck) or 9/12 (twelve paycheck) basis. Senate faculty appointments are 9/12. Student teaching appointments are 9/9, although Fall quarter can be paid on a special four-month basis. Other temporary teaching appointments are, in general, 9/12 when the individual is appointed all three quarters and 9/9 if appointment for only one or two quarters.

Academic-year appointments have specific pay period dates (web site link) regardless of the actual service dates for the year. If an academic –year appointee holds other appointments on campus, it is necessary to take the other appointments into consideration when determining if the 9/9 or 9/12 basis is appropriate. Academic Personnel should be consulted in such cases.

Fiscal-year appointment

A fiscal-year appointments are not aligned with the academic year and have begin and end dates that reflect the actual dates of work. Research appointments and some academic coordinator positions are fiscal-year appointments.

Regular compensation

Academic salaries are based on the academic salary scales published by the Office of the President and are subject to both Academic Personnel Manual and Red Binder policies and guidelines.

All academic employees are considered exempt employees and, with the exception of Readers and Remedial Tutors, are paid on a percentage basis at a monthly rate on the monthly (MO) pay cycle. Readers and Remedial Tutors are paid on an hourly pay rate, with positive reporting of time.

Academic appointees may not be employed beyond 100% except in rare and unusual circumstance, or for reasons specifically covered by additional compensation policies (RB VI-10 through VI-17). The 100% limit includes regular base pay and by-agreement payments (REG, BYA, and TFR in payroll). In general employees should be receive payment on a percentage based, regular (REG) appointment. The percentage appointment must accurately reflect the percentage of time worked. For example, an employee working 100% time must be paid at 1.00. A Principle Investigator may voluntarily pay him or herself at a percentage lower than the actual working hours.

Flat-rate (BYA and TFR) payments

Departments should consult with Academic Personnel prior to use of a flat-rate payment.

When a flat-rate payment is proposed, the department must indicate the number of hours that will be worked. For one-time payments, the hours will be a single figure. For an on-going flat-rate payment the hours may be provided on a per week or a per month basis.

If the flat-rate payment will be in addition to an already existing academic appointment, the total combined appointments for the individual may not exceed 100% or 40 hours in one week. If the employee is hired at 100% time (or an appointment percentage too high to accommodate the flat-rate payment), the main appointment must be reduced by a percentage that will accommodate the hours associated with the flat-rate payment.

If the flat-rate payment will be the only academic appointment, the normal processes for requesting an appointment in the title must be followed.

Flat-rate payments should be set up as a separate appointment and distribution in PPS. The title code should coincide with the employee's main appointment. The DOS code will be BYA or TFR as appropriate. In addition to the BYA or TFR information, a BYH distribution line must also be entered into PPS. The BYH line will reflect the approximate hours or percent time associated with the flat-rate payment and will be used to determine Affordable Care Act (ACA) benefits eligibility.

VI-17
OTHER ADDITIONAL COMPENSATION
(Revised 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.

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. 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 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 plus 30%. 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**. *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.*

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 11/14)

It is the policy of the University of California not to engage in discrimination against any person seeking employment with the University. In addition, it is the policy of the University to undertake affirmative action, consistent with its obligations as a Federal contractor. Conducting full and open searches for employment positions supports the University of California in fulfilling its requirements under federal and state laws. The University of California Affirmative Action Guidelines for Recruitment and Retention of Faculty, Office of the President, Academic Advancement, January 2, 2002, are available at: <http://policy.ucop.edu/doc/4000376/NondiscrimAffirmAct>

An open recruitment is required for all academic positions unless the recruitment is exempt under the specific criteria listed in section II below.

~~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. For Senate faculty the level of position advertised is based on the level of search approved by the Executive Vice Chancellor. Non-Senate searches may be at a specific rank or at open rank. In no case can an appointment be made at a rank or in a series not included in the advertisement.~~

~~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, an 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 beginning of the recruitment, with the Office of Equal Opportunity & Sexual Harassment / Title IX Compliance and Academic Personnel.~~

~~Recruitments may be conducted in the following ways:~~

~~One-time recruitment: The recruitment is advertised for the duration of the recruitment for a specific position or positions. Most often the one-time recruitment will be for a single hire, however occasionally a single recruitment may yield multiple hires. This may be either the result of multiple positions being available at the beginning of the search, or may occur through a special request to make multiple hires. Requests to make multiple hires from a Senate Faculty search originally designated as a single hire will be initiated by the Department Chair and submitted to the Executive Vice Chancellor via the Dean. The Dean will be asked to provide additional information concerning the FTE to be used for the additional hire, and the Executive Vice Chancellor will consult with the Academic Senate as appropriate. Requests to make multiple hires from~~

a non-senate search originally designated as a single hire are to be addressed to the Associate Vice Chancellor for Academic Personnel.

~~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~~ *pool* recruitment. ~~A standing pool recruitment may be used effort in order to fill single or multiple positions at various times for temporary research or teaching positions.~~ Pooled recruitments may be advertised for no longer than one year. All ~~standing~~ 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).

II. 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 *appointments in the titles* (Professor, Researcher, or Project Scientist series). *The individual must be a "true visitor" i.e. on leave from or retired from an equivalent position at another academic institution.*
- 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.

G. 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.

H.G. Without salary appointments, including Paid-Direct Postdoctoral Scholars.

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.

III V. Exceptions to Open Recruitment Policies Search waivers

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

A. Non-Senate Titles

1. **Emergency Hire:** Unexpected circumstances resulting in insufficient time to recruit: (e.g., unexpected illness, leave of absence of faculty, emergency research need.) Waivers will be granted with a specific end date.
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. Waivers will be granted for the duration of employment in the job series.
3. **PI/Co-PI/Leadership Status:** the proposed appointee is the principal investigator, co-principal investigator of a grant/contract, or has been named in the grant/contract for a specific leadership role. Supporting documentation must be available in the departmental file and may be requested as necessary. Waivers will be granted for the duration of the contract or grant.
4. **Continuation of Training:** the proposed appointee is currently a graduate student researcher or postdoctoral scholar and will remain for a short period to complete a research project begun while in the current status. Waivers may not be granted for longer than one year.
5. **Research Team:** the proposed appointee is part of an existing research team of a new faculty member relocating from another academic institution. The waiver is valid for the duration of appointment in the same title within the same team.
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, a search waiver, the department prepares a an Exception to Open Recruitment Request memo addressing the following: The request should clearly:

- State Which category of exception to open recruitment waiver 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 waiver.

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. *In such cases, the partner should have a record and credentials that provide evidence he or she would likely be among the top candidates if an open search had been conducted.*
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.
Exceptional Opportunity: an unusual opportunity to hire an individual who has qualifications that are so uniquely outstanding as to justify the waiver. In all these cases the candidate would be on the short list of top candidates if a full search were conducted, and the individual would be highly sought after by peer institutions. Examples would include an internationally recognized leader in a particular field (e.g., a Nobel Laureate or a Pulitzer Prize winner), an exceptional scholar who would make special contributions to diversify in a particular program or field; or a highly sought after individual who is on the market for a very limited time period. Exceptional Opportunity are normally expected to be at the Full Professor level, but under exceptional circumstances, justified by compelling reasons, they may be at a lower level. Participants in the Presidents Postdoctoral Fellowship (PPF) program may also be considered as Exceptional Opportunities.
3. *President's Postdoctoral Fellowship Recipients: the proposed hire is a current or former recipient of a UC President's or Chancellor's Postdoctoral Fellowship.*

~~The departmental letter must include:~~ *Consistency with the criteria above does not guarantee a waiver will be granted. To request a search waiver, the department prepares memo addressing the following:*

- Which category of ~~exception to open recruitment~~ *waiver* is being requested.
- The department vote on the request for a ~~an exception to open recruitment~~ *waiver.*
- 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
- *In the case of an Exceptional Opportunity request, an explanation why it is not possible to consider the candidate as an applicant in an open search (for example, the individual under consideration is available only for a limited period of time.)*

Requests for ~~exception~~ *search waivers* 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. *If the Department has not identified an FTE, the Dean must do so.* 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 *while the search is in progress, or an appointment at a higher rank is justified by the need to make a competitive recruitment offer (such as a competing offer at a higher rank) after an offer has been made, an abbreviated EOR process exists.* the department may request an ~~EOR~~ *permission* 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, *and Associate Vice Chancellor for Academic Personnel,* 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~~ *request* 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.

VII-4
**PROCEDURES FOR RECRUITMENT OF
SENATE FACULTY AND OTHER PERMANENT ACADEMIC APPOINTMENTS**
(Revised 05/14)

A. FTE Allocation: Before initiating a search, the department chair should review Red Binder I-14 Faculty Appointments, and I-13 Retention of Academic FTE. The department must have *an allocated FTE and* prior approval from the Executive Vice Chancellor to recruit for the position. For other permanent academic positions (i.e. Librarians) appropriate approval for the use of the FTE must have taken place.

The following steps are to be taken by the Department:

B. A. Recruiting

The recruiting department:

1. *Form a search committee. The committee must include one faculty member designated as the departmental equity/diversity advisor.*
2. Determines the length of the recruitment period.
3. Determines the publications or recruitment sources to be used. Note: The ad must appear in at least one print (non-electronic) journal, two websites and one additional publication (print or electronic) to satisfy Labor Certification requirements should the eventual hire be a non-US citizen. Copies of the posted ads as well as the dates of their posting are required. Additional questions regarding immigration requirements may be directed to the Office of International Students and Scholars at ouiss@sa.ucsb.edu.
4. Sets a realistic deadline for applications so that campus Equal Opportunity & Affirmative Action policy and procedures can be carried out without undue pressures (e.g., advertising time too short to attract a reasonable number of applicants or a diverse pool). It is the campus' goal that departments allow three months for advertising a permanent academic position. *Permanent positions must be advertised for at least 30 days.*
5. Follows established departmental and campus procedures and review criteria for the application process.
6. Completes the Academic Recruitment Packet Part 1—Recruitment Plan for Academic Vacancy request, including one copy of the advertisement, *Recruitment Plan in UC Recruit*. This section *The Recruitment Plan* contains all relevant information on how the position will be advertised, *how the applicants will be evaluated*, and the efforts *to that will* be made to ensure equal employment opportunity and to reach a diverse applicant pool in which women and minorities are represented.
7. ~~Obtains the Department Chair's signature~~ *Submits the Recruitment Plan in UC Recruit for review and approval by the Department Chair, the Office of Equal Opportunity & Sexual Harassment / Title IX Compliance (OEOSH/TC), the Dean, and Academic Personnel.*
8. ~~Obtains the Dean's signature.~~
9. ~~Submits the Academic Recruitment Packet, including one copy of the advertisement to the Office of Equal Opportunity & Sexual Harassment / Title IX Compliance (OEOSH/TC)~~

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

10. ~~Reviews the request and returns the Recruitment Packet to the department:~~

~~The recruiting department:~~

- 8.10. ~~Enters~~ *Publishes* the recruitment in UC Recruit *after the Recruitment Plan is approved*, including the recruitment details, advertisement, online applicant requirements (optional), and ~~sets search committee parameters if there will be a search committee~~

8.11. Places any additional approved advertisements for the position. Retains all copies of advertisements as they appear in publications and on-line, including the duration of advertisements.

12. 10. Performs all other good faith recruitment efforts to increase the diversity of the pool.

C. B. Processing Applications and Interviewing

The recruiting department:

1. After the close date, reviews quality of application materials. When an applicant pool does not contain sufficiently qualified people to fill a vacancy, it may become necessary to extend or reopen a search. The department is responsible for repeating the requisite steps as necessary.
2. Consults with the Dean's office to schedule the Dean review of the applicants. College requirements may vary.
3. Completes the Academic Recruitment Packet Part 2—Request to Interview Applicants form, capturing all recruitment activities up to this point. A copy of the CV for each finalist is to be included. *Generates the Short List Report in UC Recruit and submits for approval in UC Recruit by the Department Chair, OEOSH/TC, and the Dean.*
4. Obtains the Department Chair's signature.
5. Submits the Academic Recruitment Packet, to OEOSH/TC.

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

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

The recruiting department:

8. Upon receiving the Dean's approval of Academic Recruitment Packet Part 2—Request to Interview Applicants form, *the approval of the Short List Report*, contacts prospective candidates and invites them to campus for an interview. Additionally, ensures that the proposed interview schedule is appropriate and that it is applied uniformly to all candidates.

D. ~~Equal Opportunity Hiring Proposal~~ C. Search Report and Hiring Proposal

The recruiting department:

1. Once a potential hire has been identified, completes the Academic Recruitment Packet Part 3—Equal Opportunity Hiring Proposal form. *sections labeled "Search Report" in UC Recruit.*
2. Updates applicant's status in UC Recruit *and enters disposition reasons for all applicants including those who were interviewed but were not selected for the position.*
3. *Generates Short List Reports in UC Recruit and submits for approval by the Chair, Dean, and OEOSH/TC*
4. Obtains the Department Chair's signature.
5. Forwards the Academic Recruitment Packet to the OEOSH/TC for review.

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

6. Reviews the recommended hire against the make up of the pool, availability figures and annual placement goals.
7. Returns the signed Academic Recruitment Packet to the department.

The recruiting department:

8. Forwards the Academic Recruitment Packet as part of the candidate's appointment case to the Dean's office for final approval.

VII-5
**PROCEDURES FOR RECRUITMENT OF
TEMPORARY ACADEMIC POSITIONS**
(Revised 05/14)

The following steps are to be taken by the Department:

A. Recruiting

The recruiting department:

1. *Form a search committee, if appropriate. If a committee is formed, it must include one academic employee designated as the departmental equity/diversity advisor.*
1. Determines the length of the recruitment period.
2. Determines the publications or recruitment sources to be used.
3. Sets a realistic deadline for receiving applications so that campus Equal Opportunity & Affirmative Action policy and procedures may be carried out without undue pressures (e.g., advertising time too short to attract a reasonable number of applicants or a diverse pool). Departments should *normally advertise allow* from one to two months for lecturer or research positions. *In no case may a recruitment run less than two weeks.*
4. Follows established departmental and campus procedures and review criteria for the application process..
5. Completes the ~~Academic Recruitment Packet~~ **Part 1 – Recruitment Plan for Academic Vacancy** request, including ~~one copy of the advertisement.~~ *Recruitment Plan in UC Recruit.* This section *The Recruitment Plan* contains all relevant information on how the position will be advertised, *how the applicants will be evaluated,* and the efforts ~~to~~ *that will* be made to ensure equal employment opportunity and to reach a diverse applicant pool in which women and minorities are represented.
6. ~~Obtains the Department Chair's signature~~ *Submits the Recruitment Plan in UC Recruit for review and approval by the Department Chair, the Office of Equal Opportunity & Sexual Harassment / Title IX Compliance (OEOSH/TC), the Dean, and Academic Personnel.*
7. ~~Obtains Control Point's signature.~~
8. ~~Submits the Academic Recruitment Packet, including one copy of the advertisement to the Office of Equal Opportunity & Sexual Harassment/ title IX Compliance (OEOSH/TC)~~

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

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

The recruiting department:

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

B. Processing Applications and Interviewing

The recruiting department:

1. When an applicant pool does not contain sufficiently qualified people to fill a vacancy, it may become necessary to extend or reopen a search. The department is responsible for repeating the requisite steps as necessary.
2. Updates the applicant's status in UC Recruit.
3. Contacts prospective candidates and invites them to campus for an interview. Additionally, ensures that the proposed interview schedule is appropriate and that it is applied uniformly to all candidates.

C. Equal Opportunity Hiring Proposal

The recruiting department:

1. Once a potential hire has been identified, completes the Academic Recruitment Packet Part 3—Equal Opportunity Hiring Proposal sections labeled "Search Report" in UC Recruit.
2. Updates the applicant's status in UC Recruit *and enters disposition reasons for applicants including those who were interviewed but were not selected for the position.*
3. *Generates Short List Reports in UC Recruit and submits for approval by the Chair, Dean, and OEOSH/TC.*
4. *Obtains the Department Chair or Director's signature.*
5. *Forwards the Academic Recruitment Packet to the OEOSH/TC for review.*

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

6. *Reviews the recommended hire against the make up of the pool, availability figures and annual placement goals.*
7. *Returns the signed Academic Recruitment Packet and the Equal Opportunity recommendation to the department.*

The recruiting department:

1. *Includes the Academic Recruitment Packet in the appointment paperwork packet that is sent forward to the control point for approval.*

IX-13
POLICY ON CONFLICT OF INTEREST AND GRADUATE EDUCATION
(10/10)

Delete. Policy is on Grad Div web site and this version is out of date

I. References

- A. Conflict of Commitment and Outside Professional Activities of Faculty Members APM-025 (7/01)
<http://www.ucop.edu/academic-personnel-programs/files/apm/apm-025-07-01.pdf>
- B. University Policy on Disclosure of Financial Interest in Private Sponsors of Research APM-028 (4/84)
<http://www.ucop.edu/academic-personnel-programs/files/apm/apm-028.pdf>
- C. Office of Technology Transfer Guidelines on University-Industry Relations (5/89)
<http://www.ucop.edu/ott/genresources/unindrel.html>
- D. Principles Regarding Rights to Future Research Results In University Agreements With External Parties (8/99) <http://www.ucop.edu/ott/genresources/principles.html>
- E. Report of Advisory Group #2: UC/Industry Relationships and Education of Students, President's Retreat on Working with Industry (1/97)
<http://www.ucop.edu/ott/retreat/tabofcon.html>

II. Purpose, Background, and Guiding Principles

This policy affirms joint student and faculty responsibilities, as members of the University of California, in relationship to potential conflicts of interest and provides mechanisms to ensure that outside activities are consistent with University policy. Specifically, this policy seeks to identify cases where a faculty member's financial interest may have negative effects on a student's academic interests.

Opportunities for graduate students to work in the private sector as part of their education are rapidly increasing. The experience and feedback these experiences provide complement their academic curricula and enhance its relevance. Opportunities and benefits of such collaborations may include a sense of the private sector's needs and future directions; exposure to the most recent specialized research within a particular field; opportunities to apply theory to "real-world" problems; access to cutting-edge equipment and lab resources; opportunities to enhance work skills, such as critical thinking, communication, business acumen, and team participation; increased understanding of career possibilities and potential career directions.¹

Guiding Principles

When considering the appropriateness of graduate student participation in particular research projects with the private sector the following principles apply:

A. Open Academic Environment

Student involvement with the private sector should enhance their educational experience and not unduly influence or restrict their academic choices. Specifically, a student must retain the ability to move freely from advisor to advisor and to change topic areas or research direction free from influence or pressures outside the realm of scientific appropriateness and personal choice. A student's field of research should not be significantly narrowed or limited as a result of involvement with the private sector, nor should such involvement result in significant limitation of post-graduate employment. All University research, including research sponsored by industry, is governed by the tradition of the free exchange of ideas and timely dissemination of research results. The University is committed to an open teaching and research

¹ From the Report of Advisory Group #2: UC/Industry Relationships and Education of Students, President's Retreat on Working with Industry (1/97).

environment in which ideas can be exchanged freely among faculty and students in the classroom, laboratory, informal meetings, and elsewhere.

B. Freedom to Publish

Freedom to publish and disseminate results are major criteria for assessing the appropriateness of any research project, particularly those involving graduate students. Consistent with the mission of the University, the integrity of a student's academic experience shall be preserved, including the ability to complete and publish a thesis or dissertation and to freely publish, present, or otherwise disclose the results of research both within the academic community and to the public at large. The University precludes assigning to extramural sources the right to keep or make final decisions about what may or may not be published with respect to a research project². Within this general understanding, the University also realizes that circumstances may arise where certain restrictions or limitations may be appropriate. Short, reasonable delays may be appropriate, for example, to allow the research sponsor to review publications for inadvertent disclosures of proprietary data or potentially patentable inventions. In all cases, however, these limitations or restrictions may not be more restrictive than those borne by faculty conducting similar research under University auspices.

C. Right to Conduct Future Research

A graduate student's ability to use research results in future research and educational activities shall not be impaired.

D. Outside Professional Activities

Faculty are encouraged to engage in appropriate outside professional activities (as defined in APM-025). Graduate students also can benefit from participating in such activities with faculty members. Faculty members should be careful to ensure that the student's thesis or dissertation work is not unreasonably compromised as a result of such involvement.³

E. Responsibility to Students

University regulations guide the academic rights and responsibilities of students, and responsibility for adherence to these principles rests with the faculty. The University is committed to protecting the educational interests of students and maintaining an open environment free from undue influence of private outside interests. The advice and guidance given to students by faculty or staff members (including the nature and direction of research or other studies as well as employment opportunities outside the university) should always be governed by what is in the best academic interests of the student.

III. Definitions

"Private entity" means any non-governmental entity, except those entities exempted from the University's non-governmental financial disclosure requirements. The list of exempt entities can be found at <http://www.ucop.edu/research/exempt.html>.

"Financial interest" means:

- (a) An investment in a private entity, by the faculty member or a member of the faculty member's immediate family (spouse/registered domestic partner or dependent children), worth more than \$10,000, including stock options and profit sharing; or

² From the OTT Guidelines on University-Industry Relations and UC Systemwide Policy as outlined in the UC Contract and Grant Manual.

³ From the OTT Guidelines on University-Industry Relations and UCOP Principles Regarding Rights to Future University Agreements With External Parties.

(b) A position in a private entity as an employee, director, officer, partner, consultant, trustee, or any management position; or

(c) Income from a private entity, including consulting income, totaling \$10,000 or more in value within a 12-month period.

“Academic interest” means:

Academic interest refers to the integrity of a student's academic experience. A student's academic interests include: the ability to move freely from advisor to advisor and to change topic areas or research direction free from influence or pressures outside the realm of scientific appropriateness and personal choice; the ability to complete and publish a thesis or dissertation and to freely publish, present, or otherwise disclose the results of research both within the academic community and to the public at large; and the ability to use research results in future research and educational activities.

IV. Disclosures

In order to protect a student's academic interests, faculty members and students need to disclose certain agreements or arrangements where conflicts with these interests may arise. Such disclosure should take place at any time the agreements or arrangements set forth below arise.

When these agreements or arrangements are disclosed, procedures will be initiated to determine whether the agreements or arrangements are consistent with the student's academic interests. If not, consideration will be given to methods of resolution of these conflicts.

The following agreements or arrangements should be disclosed to the Dean of the Graduate Division as soon as the student becomes aware of the facts giving rise to the disclosure obligation:

i) Agreements or arrangements between a student and a private entity involving research activities by the student, where the University or a mentor/research/thesis/dissertation advisor is a party to the agreement or arrangement, *and* the student's mentor/research/thesis/dissertation advisor has a financial interest in the private entity.

And one or more of the following is true:

- a) The research activities are related to the student's thesis/dissertation, or
- b) There are restrictions on the student's ability to publish, present, or otherwise disclose the findings from their research activities.

When students enter into any private arrangements, they should take into account obligations they may have to the University (such as employment) and ensure that conflicts do not arise which could violate those University obligations.

V. Responsibilities

A. Graduate Division

This policy and ancillary information is in the Graduate Handbook www.graddiv.ucsb.edu/academic/handbook, published by the Graduate Division. The Graduate Division shall:

- i. Annually send graduate students an electronic communication that provides the URL to the Policy on Conflict of Interest and Graduate Education.
- ii. Work with students and departments in the event that formal procedures detailed herein are initiated.

B. Academic Unit

The academic unit shall:

- i. Communicate at least once per year, in a format of the unit's choosing, about the University's Policy on Conflict of Interest and Graduate Education as well as the procedures designed to protect the academic interests of the student.
- ii. Notify graduate students of the identity of a designated resource person (typically the Graduate Advisor) who is available to advise students in circumstances in which there is a perceived or potential conflict of interest. Have the designated resource person in the academic unit serve as the departmental representative in all matters related to the conflict of interest issue as it pertains to graduate students.
- iii. Include this policy in the departmental student handbook.

The department chair of the academic unit is responsible for ensuring that faculty members and students are familiar with the ways in which the policy might impact a mentor/research/thesis/dissertation advisor's relationship with a graduate student. The department chair shall:

- iv. Ensure that faculty members have submitted the required disclosures (see Red Binder <http://ap.ucsb.edu/policies.and.procedures/red.binder/red.binder.pdf>) and obtained approvals required pursuant to APM-025 for involvement of graduate students in outside compensated activities.

C. Mentor/Research/Thesis/Dissertation Advisor

Each faculty member serving as a mentor/research/thesis/dissertation advisor to a graduate student shall:

- i. Disclose any conflict of interest that might in any way be pertinent to the research conducted by the student (using criteria as outlined in this policy and APM-028, regardless of whether the private entity is sponsoring research at the University.)
- ii. Notify the student and the designated resource person in the department of his or her conflict of interest in a timely manner ("Timely manner" means that the faculty member should notify the departmental representative and the student at the time that the student is being employed as a research or teaching assistant, forming a graduate committee, considering a thesis or dissertation topic, whichever comes first.)

VI. Procedures

Disclosure Process

A. The Graduate Student Conflict of Interest procedure will be communicated from the Graduate Dean to graduate students each academic year. A conflict of interest may be reported through two basic avenues:

- i. All graduate students completing a thesis or dissertation must submit Graduate Division's Master's Form I and Doctoral Form I. [downloadable at <http://www.graddiv.ucsb.edu/pubs/>] The Graduate Student Conflict of Interest (COI) Form for disclosure is embedded in the Graduate Division's Master's Form I and Doctoral Form I.
- ii. In addition, at any time, through a formal or informal process at the level of the academic unit, a stand-alone COI Form [downloadable at <http://www.graddiv.ucsb.edu/pubs/>] may be submitted by any of the following parties: the graduate student, the faculty mentor/research/thesis/dissertation advisor, a departmental representative/Graduate Advisor, or the campus Conflict of Interest Committee.

In addition to consulting the departmental representative/Graduate Advisor, a student may at any time seek the advice of one of the identified campus-wide resource persons, who include the Dean of the Graduate Division, Assistant Dean of the Graduate Division, the Director of Academic Services in the Graduate Division, and the Conflict of Interest Coordinator in the Office of Research.

B. Graduate Student Conflict of Interest Forms shall be submitted to the Dean of the Graduate Division for review.

Review Process

The Dean of the Graduate Division or designee shall review each form submitted. Those containing a positive disclosure will be reviewed in greater depth to determine whether the Graduate Student Conflict of Interest Subcommittee review of the disclosure is required.

- i. If the conflict of interest poses **minimal risk** of harm to the academic interests of the student, then the Graduate Dean or Dean's designee shall write a brief statement to that effect, and shall include a summary of the situation and the reasons for the decision. If there is agreement with the risk statement, the Department Chair, the student, and faculty member who has a conflict of interest shall co-sign the statement. Upon acceptance by the Dean or Dean's designee, the signed statement shall then be forwarded to the department for placement in the student's academic file; a copy will also be retained by the Dean of the Graduate Division with copies forwarded to the co-signers. Should any party become aware of new information impacting the academic interests of the student, the minimal risk statement should be reassessed and a new COI Form submitted by the department to the Graduate Division. If, on the other hand, the Department Chair, student, or the faculty member does not agree with the statement after suitable revisions have been attempted, the conflict of interest matter should then be referred to the Graduate Student Conflict of Interest Subcommittee for final resolution.
- ii. If the conflict of interest issue includes a component that may be harmful to the student, then the Dean of Graduate Division will refer the matter to the Graduate Student Conflict of Interest Subcommittee.

Subcommittee Review Process

Reviews will be performed by the Graduate Student Conflict of Interest Subcommittee ("Subcommittee") consisting of the Chair of the Conflict of Interest Committee, the Conflict of Interest Coordinator in the Office of Research, and the Dean of the Graduate Division or his or her designee. The Subcommittee shall meet as necessary.

When a disclosure is submitted for Subcommittee review, the Subcommittee shall have the following options:

- 1) Approve the project⁴ (determine that no obvious conflict of interest is present);
- 2) Conditionally approve the project to manage the conflict, subject, but not limited to, conditions such as the following:
 - Further management by, or reporting to, an appropriate Dean, Chair, or *ad hoc* departmental committee formed for such purpose;
 - Periodic reports back to the Subcommittee on steps taken to manage the conflict;
 - Divestiture of the financial interests that cause the conflict;
 - Recommendation that the Graduate Dean work with the Department to find a substitute on the student's dissertation or thesis committee for the faculty member with a conflict;
 - Limitation of the length or scope of student's work with industry;
 - Adoption of standard UC provisions concerning intellectual property for student's work with industry;
 - All student work is to be conducted on-campus;

⁴ A project could be, but is not limited to, a textbook, software, scientific or engineering innovation, or basic/applied research that would benefit the company's interest.

- Appointment of an additional member to serve on the dissertation or thesis committee as an “Oversight Member.” This member is chosen by the Department Chair (or the Graduate Advisor if the Chair is the conflicted faculty member) in consultation with the graduate student and their dissertation advisor. The Oversight Member shall be from a different academic department in a reasonably related discipline.
- Any other condition that the Subcommittee feels appropriate and reasonable to manage the conflict may also be implemented.