

May 20, 2016

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:

- Updates to reflect the UC-AFT contract covering Non-Senate Faculty (Lecturers and Supervisors of Teacher Education)
- Use of the honorific title “Distinguished Professor” for Professors Above Scale

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** Clarifies policy on advancement within step
- I-17, VI-3, VII-4, VII-5, VII-7, VIII-1, VIII-11, IX-30**  
Terminology updates
- I-27** Clarification that the current employment should be listed on the short-CV portion of the bio-bib
- I-30, III-8**  
Definition of on-time advancement for individuals paid at the UCSB minimum rate
- I-43, I-50**  
Use of the honorific title “Distinguished Professor” for Professors Above Scale
- II-1, II-6, II-8, II-10, II-12, II-16, VI-1, VI-4, VI-5, VI-7**  
Incorporates changes in new UC-AFT contract covering Non-Senate Faculty (Lecturers and Supervisors of Teacher Education)
- III-14** Update of solicitation letter wording for the Project Scientist series
- III-16** Update of solicitation letter wording for the Specialist series
- V-6** Clarifies term limits for without salary Curator appointments
- VI-9** 100% employment limit for academic employees
- VI-10** Summer 2016 additional compensation dates
- VII-1** Clarifies research team waiver requirements and process for extension of waivers.  
Terminology update

**ELIGIBILITY, DEFERRAL AND MANDATORY REVIEW**

(Revised 11/15 4/16)

**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~~ *When an extension of the tenure clock has been approved, the individual* should not be expected to have produced more or performed at a higher level than ~~faculty~~ *an individual* who ~~have~~ *has* 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.

**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 *rank or step* at that time, the candidate will continue to be eligible *for advancement in rank or step* each year until advancement *in rank or step* occurs. *Further advancement within step will only be allowed when the normative number of years at step have passed.* Normal periods of service in other academic series is described in the Red Binder section covering the series.

#### **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.

#### **V. Mandatory Five-Year Reviews**

Senate faculty and appointees to the Research series must undergo a performance review at least once every five years, including an evaluation of the individual's record in all review areas. This review may not be deferred. Most 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 will not constitute automatic deferral. If an 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.

#### **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 Potential 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 6<sup>th</sup> year of service but may be deferred until the 7<sup>th</sup> year. The faculty member's deferral request along with the Chairperson's letter of recommendation must be submitted via AP Folio.

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

## NEW LADDER SENATE FACULTY COMMITMENTS

(Revised 09/13 4/16)

A "start-up memo" addressing the equipment, space, housing and other start-up needs should be forwarded with the appointment packet. Note that one memo may be written to cover all of these issues. The Dean's New Ladder Senate Faculty Commitment Sheet will be prepared and endorsed by the Dean and then forwarded to the Associate Vice Chancellor.

At the time the Chancellor extends an offer of appointment to the candidate, a copy of the approved Commitment Sheet will be forwarded to the Dean indicating what recruitment commitments have been approved.

**Please note:** Revisions in recruitment commitments require approval by the Associate Vice Chancellor for Academic Personnel. Requests for revisions should be made in memo form to the appropriate Dean's office. For revisions being requested prior to the faculty member's start date, a revised commitment sheet will be completed by the College and forwarded to Academic Personnel for review. For revisions being requested after the faculty member's start date, the Dean may simply endorse the departmental request and forward it to Academic Personnel for review.

### Housing

Mortgage Origination Program (MOP) loan commitments are made available for approximately a two-year period from the date of appointment. Extension beyond the expiration date may be possible on a year by year basis dependent of financial conditions at the time of the extension request. The actual amount of the loan (up to the maximum specified by Office of the President) will be based on the individual qualification of the faculty member.

An offer may be extended for placement on the wait list for purchase of University owned housing at West Campus Point and North Campus Point, based on College housing allocations. Ladder faculty and Lecturers in the Security of Employment series are eligible ~~for purchase of University owned housing.~~ *for placement on the primary housing wait list.*

Rental of family student housing may be offered to Assistant Professors and Lecturers with Potential Security of Employment. Rentals are on an "as available" basis and new faculty should be urged to contact the housing office as soon as possible, once an offer has been extended, if they will be exercising this option.

### Faculty Recruitment allowance

The Faculty Recruitment Allowance (also known as a Relocation Allowance or Housing Allowance), is made available to help newly recruited faculty meet the costs associated with purchasing a home, usually the down payment or closing costs. It may also be used towards the initial deposit necessary for a rental. The maximum allowable allocation is based on the rate on Table 40 of the published Salary Scale at the time of hire. Incoming faculty should be advised of the following to avoid unrealistic expectations about how and when they can get the money.

Faculty ~~cannot get~~ *may not be issued* their faculty recruitment allowance until they are employees and have been entered into the payroll system. Exceptions to this policy may not be made and the appointment start date may not be modified to accommodate payment. The faculty recruitment allowance is to be paid out as close as possible to the time it will be used (for example, upon entry into escrow), not at the time of initial employment. Faculty are encouraged to consult with their departments prior to entering escrow to assure that the payment may be issued during the escrow period. A Department or College may require proof of entry into escrow or other appropriate documentation prior to payment of the faculty recruitment allowance.

Faculty recruitment allowances are considered wages for Federal and State tax reporting and withholding and for Social Security taxes, workers' compensation, and unemployment insurance.

Payment of the faculty recruitment allowance is made through PPS, using Title Code 3993 and the dos code FHA and the prq code of EA. Request for payment of the faculty recruitment allowance should be made at least 30 days in advance of the date the money is needed.

**INSTRUCTIONS FOR COMPLETION OF THE****BIO-BIBLIOGRAPHY**(Revised ~~11/15~~4/16)

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). The bio-bib should contain information ending at the appropriate campus cut-off date as follows:

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

Departments may establish earlier submission dates if they desire. Information that falls beyond 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.)

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, Previous *and currently held* Academic or Professional Appointments 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.

I-30  
**DEAN'S AUTHORITY MERIT REVIEWS**  
(Revised 4/15/16)

Deans have the approval authority for the following actions when the departmental recommendation is for an on-schedule (one-step) merit advance with no increase or decrease the off-scale salary supplement, regardless of the number of years since last review:

Assistant Professor Series:

Advances from Step II to III, and III to IV

Associate Professor Series:

Advances from Step I to II and II to III

Professor Series:

Advances from Step I to II, II to III, III to IV, IV to V, VI to VII, VII to VIII, VIII to IX

*For faculty paid at the UCSB minimum rate, on-schedule advancement will be to the next step at the UCSB minimum rate.*

Should a Dean disagree with the departmental recommendation the case will be forwarded to Academic Personnel for review by the Committee on Academic Personnel and decision by the Associate Vice Chancellor.

The Office of Academic Personnel is the office of record for maintenance of personnel files and is responsible for the announcement of merit decisions.

At the end of each review cycle, the CAP will conduct a post-audit of each Dean's merit decisions. The CAP reserves the right to request to review any individual faculty case at a subsequent merit review point, regardless of the type of proposed action.



**MERIT TO, OR WITHIN, PROFESSOR ABOVE SCALE**(Revised ~~09/13~~ 4/16)

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

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

*Faculty who have attained Above Scale status may use the title "Distinguished Professor" as an honorary title. Because this title is honorific, it may not be used on legal documents such as contract and grant applications that require an official employment title. The title may be used for such purposes as correspondence, CV, or website listings. Faculty who retire while at Above Scale status may use the title Distinguished Professor, emeritus/a.*

**WORDING FOR SOLICITATION LETTERS BY PROPOSED ACTION**

(Revised 4/15/16)

A. Appointment to Assistant Professor

\_\_\_\_\_ is being considered for an appointment as an Assistant Professor in the Department of \_\_\_\_\_. Appointment to Assistant Professor within the UC system is made in the expectation that the appointee will meet standards for a tenure appointment by the time a promotion decision is due. Recommendations for faculty appointments at this level must indicate clear evidence of potential excellence in both teaching and research.

B. Appointment or Promotion to Associate Professor

\_\_\_\_\_ is being considered for (an appointment as/ promotion to) Associate Professor in the Department of \_\_\_\_\_. Appointment (or promotion) to Associate Professor within the UC system includes tenure. The record of performance in (a) teaching, (b) research or other creative work, (c) professional activity, and (d) University and public service is carefully assessed. Reasonable flexibility is used in making personnel judgments, but flexibility does not entail the relaxation of high standards. Superior intellectual attainment, as evidenced both in teaching and in research or other creative achievement, is an indispensable qualification for appointment (promotion) to tenure positions.

[When appropriate in promotion cases add: UCSB encourages its faculty members to consider extensions of the pre-tenure period under circumstances that could interfere significantly with development of the qualifications necessary for tenure. Examples of such circumstances may include birth or adoption of a child, extended illness, or care of an ill family member. In such cases, University of California policy requires that the file be evaluated without prejudice as if the work were done in the normative period of service.]

C. Appointment to Professor I-V

\_\_\_\_\_ is being considered for an appointment as Professor in the Department of \_\_\_\_\_. The ranks of Associate Professor and Professor within the UC system are tenured. The record of performance in (a) teaching, (b) research or other creative work, (c) professional activity, and (d) University and public service is carefully assessed. A candidate for the rank of Professor 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. Reasonable flexibility is used in making personnel judgments, but flexibility does not entail the relaxation of high standards. Superior intellectual attainment, as evidenced both in teaching and in research or other creative achievement, is an indispensable qualification for appointment to a Professor rank position.

D. Promotion to Professor

\_\_\_\_\_ is being considered for promotion to Professor in the Department of \_\_\_\_\_. Individuals under consideration for this rank have attained tenure at the Associate Professor rank. The record of performance in (a) teaching, (b) research or other creative work, (c) professional activity, and (d) University and public service is carefully assessed. A candidate for promotion to the rank of Professor 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. Reasonable flexibility is used in making personnel judgments, but flexibility does not entail the relaxation of high standards. Superior intellectual attainment, as evidenced both in teaching and in research or other creative achievement, is an indispensable qualification for promotion to a Professor rank position.

E. Appointment at Professor VI- IX

\_\_\_\_\_ is being considered for an appointment as Professor [specify step] in the Department of \_\_\_\_\_. In the University of California, there are nine steps within the rank of Professor. The normal period of service is three years in each of the first five steps. Service at Professor, Step V, may be of indefinite duration. Appointment to Step VI, or higher, calls for evidence of highly distinguished scholarship, highly meritorious service, and evidence of excellent University teaching. In addition, great distinction, recognized nationally or internationally, in scholarly or creative achievement or in teaching is required for appointment at this step.

#### F. Merit to Professor VI

\_\_\_\_\_ is being considered for advancement to Professor [specify step] in the Department of \_\_\_\_\_. In the University of California, there are nine steps within the rank of Professor. The normal period of service is three years in each of the first five steps. Service at Professor, Step V, may be of indefinite duration. Advancement to Step VI, or higher, involves an evaluation of the candidate's entire career and calls for evidence of sustained and continuing excellence in each of the following categories: (1) scholarship or creative achievement, (2) University teaching, and (3) University and public service and (4) professional activity. In addition, great distinction, recognized nationally or internationally, in scholarly or creative achievement or in teaching is required for advancement to this step.

#### G. Appointment or Merit to Professor Above Scale

\_\_\_\_\_ is being considered for (an appointment as/ advancement to) **Distinguished Professor** (Professor Above Scale) in the Department of \_\_\_\_\_. In the University of California, there are nine steps within the rank of Professor (steps I-IX). Steps VI, VII, VIII, and IX are reserved for highly distinguished scholars. There is one further rank beyond Step IX; **Distinguished Professor Above Scale**. **Above Scale Distinguished Professor** is the highest rank attainable by a faculty member in the University of California system. (Appointment/advancement) to an Above Scale salary is reserved for the most highly distinguished faculty (1) whose work of sustained and continued excellence has attained national and international recognition, (2) whose teaching performance is excellent, (3) whose University and public service is highly meritorious and (4) whose professional activity is judged to be excellent.

#### H. Sample Thank You Letter for Unsolicited Comments

Use the sample letter, modifying as follows:

[Opening remarks: e.g., Thank you for sending us your letter of recommendation regarding \_\_\_\_\_ who is currently under consideration for an appointment in our department. I would like to inform you that

[Confidentiality paragraph]

I would appreciate if you would inform me whether, in light of our policies, we may proceed with the use of your letter in the personnel file or if you wish it to be destroyed. If you do not respond by \_\_\_\_\_ the materials will be maintained in our files.

#### I. Sample Letter for Restricted Materials (Non-UC Placement Files)

Use the sample letter, modifying as follows:

We have received your letter of evaluation regarding \_\_\_\_\_ who is currently under consideration for an appointment in our department. This letter was received as part of a placement file from \_\_\_\_\_ which states that this material (not be made part of the individual personnel file/be returned to you after we have completed our use of it/be destroyed after we have completed our use of it/etc.) I am writing to inform you that we are unable to accept and use the material you sent with the constraint on its use that you have stated, and to explain why we are unable to do so.

Under University of California policy, evaluatory material about an individual who is (appointed to an academic position/being considered for promotion) becomes part of the individual's permanent personnel record. (In addition, we are required under applicable legal standards to retain in our files for at least two years documentary material that we have considered on all applicants for a position that has been filled.)

[Confidentiality paragraph here]

I would appreciate if you would inform me whether, in light of our policies, we may proceed to use the material from the placement file, or whether you wish us to destroy the materials without using them in the file. If you do not respond by \_\_\_\_\_ the materials will be maintained in our files.

J. Appointment to Lecturer PSOE

\_\_\_\_\_ is being considered for an appointment as a Lecturer with Potential Security of Employment in the Department of \_\_\_\_\_. Appointment to Lecturer with Potential Security of Employment within the UC System requires clear evidence of potential excellence in teaching and promise of future growth. Research and creative activity, although not required for Lecturer with Potential Security of Employment positions, is also reviewed when available

K. Appointment or promotion to Lecturer SOE

\_\_\_\_\_ is being considered for (an appointment as/ promotion to) Lecturer with Security of Employment in the Department of \_\_\_\_\_. Appointment (or promotion) to Lecturer with Security of Employment within the UC System requires clear evidence of teaching ability of exceptional quality, and promise of future growth. Research and creative activity, although not required for Lecturer with Security of Employment positions, is also reviewed when available.

L. Appointment or promotion to Sr. Lecturer SOE

\_\_\_\_\_ is being considered for (an appointment as/ promotion to) Sr. Lecturer with Security of Employment in the Department of \_\_\_\_\_. Appointment/promotion to Senior Lecturer with Security of Employment within the UC System requires teaching ability of exceptional quality and evidence demonstrated, in terms appropriate to this type of appointment, that the candidate has reached the level of professional achievement required of a professor. Research and creative activity, although not required for Senior Lecturer with Security of Employment positions, is also reviewed when available.

M. Continuing Lecturer Excellence review

\_\_\_\_\_ is being considered for review to be appointed as Lecturer, Continuing Appointment in the Department of \_\_\_\_\_. Appointment beyond six years as a Lecturer within the UC system includes the right to a Continuing Appointment so long as the University determines that the instructional need exists and that the instructional performance of the lecturer is excellent. The record of performance in teaching is carefully assessed and the standard of excellence is an indispensable qualification for appointment beyond six years.

N. Continuing Lecturer promotion to Sr. Lecturer

\_\_\_\_\_ is being considered for a promotion to Senior Lecturer, Continuing Appointment in the Department of \_\_\_\_\_. Appointment beyond six years as a Lecturer within the UC system includes the right to a Continuing Appointment so long as the University determines that the instructional need exists and that the instructional performance of the lecturer is excellent. The record of performance in teaching is carefully assessed and the standard of excellence is an indispensable qualification for appointment beyond six years. \_\_\_\_\_ completed a review for Lecturer, Continuing Appointment in \_\_\_\_ and is now being considered for promotion to the rank of Senior Lecturer, Continuing Appointment. Along with continued excellence in the area of teaching, promotion to the Senior rank requires service of exceptional value to the university. Service activities may include departmental or campus governance or activities that involve the candidate's professional expertise in a context outside the University's environment.

O. To Letter Writers from a Prior Review for Amendment or New Letter

Last year you were kind enough to provide an evaluation of Professor \_\_\_\_\_'s work in consideration of advancement to \_\_\_\_\_. We appreciate your time and attention in preparing that letter. For institutional reasons, [we did not pursue the case at that time] or [further consideration of this proposed action is currently taking place]. Your earlier evaluation is now part of the official record (copy enclosed). I write to inform you that you may, if you wish, at this time add further comments or an update letter to be included in the record. We certainly encourage you to do so. We are enclosing Professor \_\_\_\_\_'s current vita and publications to assist in your update.

II-1  
**UNIT 18, Non-Senate Faculty**  
**Lecturer and Supervisor of Teacher Education Series**  
(Revised 11/15)4/16)

**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. *Requests for one-time credit of service as defined by Article 7A.B.1 must be endorsed by the Department Chair and Dean and required approval by the Associate Vice Chancellor for Academic Personnel.*

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: *in writing of specific terms and conditions of the position as outlined in Article 7A C.3. This information will normally be included in the offer letter.*

- ~~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
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- 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 10<sup>th</sup> quarter of service within the same department, a pre-six Lecturer or Supervisor of Teacher Education will be given a ~~two-step~~ *six percent* salary increase if the individual has not received an ~~two-step~~ *equivalent* within range salary increase 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 *be paid at a rate at or above the minimum indicated on Salary Scale Table 16 and will* receive a merit increase of at least six percent *at a salary point on Salary Scale Table 17B*. 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* *establishing the Continuing Appointment base FTE* 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.

- 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 *of a* 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 ~~E 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 ~~F D.2.~~ Any Layoff must comply with the provisions of Article 17. ~~B F~~

**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
Recall appointments	Dean

## II-6

### **GUIDELINES FOR REAPPOINTMENT EVALUATION NSF ASSESSMENT AND MENTORING IN YEARS 1 – 6**

(Revised 12/034/16)

The Memorandum of Understanding between the University and the University Council AFT contains the following statement regarding evaluations:

#### A. Evaluation Assessment Process

1. The decision to ~~Any~~ reappoint ~~ment~~ or not reappoint a NSF in years one through six shall be preceded by an assessment of the performance of the ~~non senate faculty~~ NSF. ~~The assessment will in the unit that shall~~ be undertaken in accordance with ~~each the~~ department's applicable review procedures in effect at the time.
2. As soon as possible prior to the initiation of an assessment ~~non senate faculty in the unit~~ the NSF shall be notified of the ~~purpose, timing of the assessment and the~~ criteria, and the ~~procedures~~ form of assessment that will be followed.
3. ~~Evaluations Assessments~~ of individual ~~non senate faculty~~ NSF in the unit for ~~consideration of~~ reappointment are to be made on the basis of demonstrated competence in the field, demonstrated ability in teaching, academic responsibility and other assigned duties that may include University co-curricular and community service. ~~Reappointment to the senior rank requires, in addition, service of exceptional value to the University.~~
4. ~~The individual being assessed~~ Non-senate faculty in the unit may provide letters of assessment from others including departmental ~~non senate faculty~~ NSF ~~in the unit~~, and other relevant materials to the Department Chair, the Chair's equivalent or other designated official as part of the assessment process.

#### B. Criteria

1. ~~Instructional performance is to be measured by evaluation of evidence demonstrating such qualities as:~~
  - a. ~~command of the subject matter and continued growth in mastering new topics;~~
  - b. ~~ability to organize and present course materials;~~
  - c. ~~ability to awaken in students an awareness of the importance of the subject matter;~~
  - d. ~~ability to arouse curiosity in beginning students and to stimulate advanced students to do creative work; and~~
  - e. ~~achievements of students in their fields.~~
2. ~~Due attention should be paid to the variety of demands placed on instructors by the types of teaching called for at various levels and the total performance of the non senate faculty in the unit should be judged with proper reference to assigned teaching responsibilities.~~

#### B. Mentoring Meetings

~~During the 9<sup>th</sup> quarter of service in the same department, the Department will provide the each NSF the~~



*opportunity to participate in a mentoring meeting. The purpose of the meeting is to provide the NSF with performance feedback. The mentoring meeting process is subject to the provisions of Article 31. The following procedures are to be followed:*

- 1. The Academic Personnel Office will provide the department with a list of NSF eligible for a mentoring meeting during each academic year.*
- 2. The department will notify each eligible NSF at least 30 days in advance of the proposed meeting. If the NSF chooses to decline the mentoring meeting, they must do so.*
- 3. Performance feedback is to be provided verbally only, based on materials readily accessible to the Chair, such as: student evaluations, syllabi and other examples of instructional materials, and classroom visits as appropriate. Performance of assigned duties from at least the most recent six quarters is to be considered.*
- 4. The Mentoring Meeting form must be signed by both the Chair and the employee. The form is to be placed in the personnel file, with a copy sent to the Academic Personnel Office.*

**C.** At UCSB, evidence of teaching competence may be demonstrated in a number of ways including:

- ESCI forms (required in all cases)
- Written comments from student evaluations
- Assessment by former students who have achieved notable professional success
- Assessment by other members of the department, or other appropriate faculty members
- Development of new and effective techniques of instruction and materials
- Assessment from classroom visitations by colleagues and evaluators.

Departments may refer to the discussions of evidence in Continuing Appointment merit cases contained in Red Binder II-10 for further information on evaluation of teaching.

## II-8

### GUIDELINES FOR ESTABLISHMENT OF THE CONTINUING APPOINTMENT BASE FTE DEPARTMENTAL SUBMISSIONS OF NSF RESOURCE ALLOCATION REQUESTS

(Revised 10/14/16)

The consideration of the employment of Unit 18 non-senate faculty (NSF) should be undertaken with a view to the highest possible quality of instruction and the optimal advancement of the curricular and programmatic interests of the department. There should be the underlying presumption that:

1. The teaching function of an academic department or program is to be discharged typically by members of the Academic Senate (ladder faculty and Lecturers with Security of Employment);
2. Teaching needs not met by ladder faculty or LSOE's will be met by Teaching Assistants and Associates as an integral part of their graduate training whenever this is possible and appropriate;
3. Unit 18 non-senate faculty NSF will be employed when needs cannot be met as described under 1. and 2. above. The allocation of an FTE in support of a Continuing Appointment will be granted by the Associate Vice Chancellor for Academic Personnel, upon recommendation from the Dean, with reference to the long term programmatic development of the individual department or program consistent with the overall mission of the University.

Under Article 7.B (Section B.1.) of the present contract, appointments at or beyond six years of service can be made on a continuing basis, only when the following criteria have been met with respect to the initial year of the Continuing Appointment:

- a) There is a departmental need for courses to be taught by non-senate faculty in the area in which the non-senate faculty has taught;
- b) The courses to be taught by the non-senate faculty do not represent temporary augmentation, as defined below;
- c) The non-senate faculty member is qualified to teach those particular courses;
- d) A Continuing Appointee is not already expected to teach the course(s);

Justification of departmental need should be made in the context of the department's five year plan and only after full assessments of the programmatic and fiscal components of instructional need. In assessing such requests, reviewing agencies will consider whether the courses associated with the requested provisions are elective or required; how frequently they have been offered over the last three years and with what enrollment; how these courses are normally staffed, whether ladder faculty are currently available to teach them, and the plans for recruiting ladder faculty. Also considered are plans for program development; the character and needs of the academic programs in the department; competing demands for faculty positions, and the appropriate balance of temporary and ladder positions within the department. When, as a result of this assessment, it is determined that the courses covered by the proposed Continuing Appointment should continue to be taught by a non-senate faculty member for the next year, the University will consider that the instructional need test has been met.

*The level of instructional need will normally be at the same level as the need during the year prior to the start of the Continuing Appointment. If, prior to the issuance of the letter approving the Continuing Appointment, the department determines that the initial continuing appointment percentage will be lower than expected, the appointee must be notified, in writing, as soon as practicable.*

Instructional need will not exist, *or may be reduced*, when:

- a) A Ladder faculty member or Lecturer SOE is designated to teach the course(s) during the next

academic year.

- b) A Teaching Assistant or Associate is designated to teach the course(s) during the next academic year.
- c) A Visiting Professor or Adjunct Professor is assigned to teach the course(s) during the next academic year.
- d) The assignment of the **non senate faculty NSF** to teach the course(s) conflicts with established departmental academic program requirements for intellectual diversity

~~If any of the above conditions will occur, they must be clearly discussed and justified in the departmental needs request.~~

#### Augmentation of Continuing Appointment base:

Temporary augmentation may be made to the Continuing Appointment if the increase is for a distinct and finite period of one year or less. Temporary augmentations will not be added to the appointee's base percentage on a continuing basis. Temporary augmentations may result from:

- Faculty leaves
- Circumstances which require emergency course coverage
- The need to deliver instruction until newly hired ladder rank faculty are scheduled to begin teaching
- Temporary and/or unanticipated fluctuations in enrollment
- Programmatic change designed to meet the academic mission of the University

Any augmentation not meeting the above definitions will be considered a permanent augmentation to the individual's Continuing Appointment base percentage. Reduction of the Continuing Appointment base may only take place in accord with Article **18, Layoff; 17, Layoff, reduction in time and Reemployment.**

~~Departmental consideration of the continuing need will take place no later than one calendar year prior to the 18<sup>th</sup> quarter of service of the NSF currently fulfilling the teaching responsibilities. An annual call will be issued by the office of Academic Personnel.~~

~~A description of the procedure whereby the department arrived at its recommendation including a tabulation of any vote taken by the department faculty regarding recommendation of the case should also be included in the departmental needs request. If the department makes a decision to not request a Continuing Appointment resource allocation, the Chairperson should communicate that decision and the justification for the decision by memo to the Dean no later than the deadline established in the annual call. The case will then be reviewed by the Dean and Associate Vice Chancellor for Academic Personnel for conformity with MOU requirements and campus policy.~~

## II-10

### Excellence Reviews and Subsequent Merit Reviews

(Revised 09/13/16)

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

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

The principal criterion for Employment beyond the sixth year (18 quarters) will occur when two conditions are met:

1. As the result of an Excellence Review the individual under consideration is deemed excellent (Article 7B A4), thus conferring Continuing Status, and
2. Need exists in the 19<sup>th</sup> quarter (Article 7B A.6)

as stated in the Memorandum of Understanding (MOU) in Article 7B, is that:

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

~~Section D~~ Article 7B E outlines the criteria and evidence to be considered when evaluating all unit members for a Continuing Appointment through an Excellence Review and for subsequent merit increases.

~~Section D states:~~

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

Article 7B E provides for the following measures of instructional performance: Instructional performance is to be measured by evaluation of evidence demonstrating such qualities as:

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

#### II. Evaluation of Performance

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

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

### **III. Review Procedure**

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

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

### **IV. Documentation of Performance**

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

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

In addition, at least one of the following:

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

The individual under review may also provide:

- A self-statement of teaching
- A list of individuals from whom input may be solicited

- Letters of assessment from individuals with expertise in the field
- Other relevant materials to the evaluation file

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

## **V. Extramural Evaluations**

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

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

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

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

## **VI. Other Evidence**

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

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

## **VII. Service**

It is expected that a lecturer will participate in activities that involve service to the department and the university. The department should make its expectations clear in this area and should take care to include this information in its review of a candidate. Such data might include records of attendance at departmental and other meetings; department assignments undertaken; accessibility to students (office hour commitments made and kept, independent studies programs directed, student activities sponsored and advised). Any such activities should be noted and evaluated; any such activities that are assigned as part of the candidate's workload should be subjected to a more rigorous evaluation. While every faculty member is expected to have some activity in this area, it should be recognized that the opportunities for such service will vary from lecturer to lecturer. Exceptionally meritorious service should be carefully documented in preparing the recommendation.

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

## **VIII. Reviewing Agencies**

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

II-12  
**NON-SENATE FACULTY CHECKLIST**  
**FOR YEARS 1-6**  
 (Revised 10/10/16)

**Appointments for Years 1-6 (Lecturers and Supervisor of Teacher Education)**  
**Checklist of Documents Required**

Submit the original plus one copy of each document, unless otherwise noted.

**I. Departmental Recommendation: Lecturer and Supervisor of Teacher Education Appointment and Reappointment form**

- Is the salary rate on the Unit 18 Standard Table?
- Is the monthly salary commensurate with the pay basis (i.e. 9/9 or 9/12)?
- Is the annual rate is same as the last or current appointment within the department? If not, is justification for the ~~merit~~ *higher salary* included?
- If this is the 10<sup>th</sup> quarter of service and there have been no past within range salary increases, has the salary been increased by *six percent two steps if there has not already been a six percent within range increase?*
- If this is the 10<sup>th</sup> quarter of service, did a mentoring meeting take place in the 9<sup>th</sup> quarter?*
- Is the Title code appropriate for the appointment?

	<u>9/9</u>	<u>9/12</u>
Lecturer	1632	1630
Senior Lecturer	1642	1640
Supv. of Teacher Ed	2220	2220

- Is the period of appointment appropriate for the service?

	<u>9/9</u>	<u>9/12</u>
Fall Qtr	10-1 to 12-31	7-1 to 10-31
Winter Qtr	1-1 to 3-31	11-1 to 2-28
Spring Qtr	4-1 to 6-30	3-1 to 6-30

- Does the assignment conform to the Departmental Workload Statement? Is the percent time accurately reflected?
- Is the current year cost accurate? (Annual/3, x % time x number of quarters)*
- Is the FTE calculation accurate? (% time/3 x number of quarters)*
- Is the number of quarters of service to date in Unit 18 titles within the department listed?
- Has Graduate Council approval been obtained for graduate level courses?

**II. UCSB Biography Form**

- If this is the first Unit 18 appointment in the department, is a complete UCSB Biography form included?
- Is the form signed and dated?

**III. Academic Recruitment Packet (original only)**

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

**IV-III Teaching Evaluations (original only)**

- If this is a reappointment in the same department, are ESCI included?



**LECTURER AND ~~SENIOR LECTURER~~ SUPERVISOR OF TEACHER EDUCATION: PROCEDURAL SAFEGUARD STATEMENT**  
(Revised 4/15/16)

*Informational only: all safeguards are to be completed via AP Folio*

**PRIOR TO DEPARTMENTAL REVIEW:**

1. I was informed that I was to be reviewed for this personnel action and of the process as described in MOU Article 7B and ~~7.C~~ Article 22 and I was informed of relevant deadlines for submission of materials.
2. I had the opportunity to ask questions, supply information and evidence, and add material to my file in preparation for the review (Article 7B.F.2, F.3, and F.4.B.E.2 and E.3)
3. I was informed whether or not letters of evaluation were to be sought as part of this personnel action.
4. If letters were sought
  - A. I had an opportunity to suggest names of evaluators; and
  - B. I had the opportunity to submit, in writing, names of persons who, for reasons set forth by me, might not provide objective evaluations.
5. I was informed whether or not there were confidential documents (i.e. external letters, minority opinion reports) in my department review file and of my right to review a summary of any such documents.

Yes, there are confidential documents in my file (proceed to #6)

No, there are not any confidential documents in my file (proceed to #7)

6. If yes to #5, I was provided the contents of the confidential documents (i.e. external letters, minority opinion reports) in my file by means of:

A. Redacted Copies

C. Chose not to receive contents

B. Oral Summary

7. I had the opportunity to inspect all non-confidential documents in the review file.
8. I had the opportunity to provide a written statement in response to or comment upon all materials in the file.

**FOLLOWING THE DEPARTMENTAL REVIEW PROCESS:**

9. I was informed of the departmental recommendation and the substance of the evaluation under each of the applicable review criteria by means of:

A. Copy of Departmental Recommendation

B. Oral Summary

C. Chose not to be informed

10. I was informed of my right to make written comments, within five working days, to the Chair (or appropriate person) regarding the departmental recommendation. I was aware that these comments would be included in the file and made available to other voting faculty in the department.
11. I was informed of my right to make written comments regarding the departmental recommendation to the Dean and that these comments would be included in the file and available to other reviewing agencies outside of the Department.

I HAVE SUBMITTED THE FOLLOWING ADDITIONAL MATERIALS:

Suggested names of evaluators (in accordance with 4A above).

Names of persons who might not provide objective evaluations (in accordance with 4B above).

A written statement in response to materials in the file (in accordance with 8 above)

A written statement about the departmental recommendation to the Chair (in accordance with 10 above).

A written statement about the recommendation to the Dean (in accordance with 11 above).

**REVIEWING AGENCY REPORTS**

I request that copies of reviewing agency reports (Dean, CAP, and any correspondence between them) be provided to me after the conclusion of my review

I do not wish to receive copies of reviewing agency reports (Dean, CAP, and any correspondence between them at the conclusion of my review, but understand that I may request them at any time in the future.

SIGNED \_\_\_\_\_ DATED \_\_\_\_\_

PRINT NAME \_\_\_\_\_ DEPARTMENT \_\_\_\_\_

III-8  
**TYPES OF REVIEW**  
(Revised 11/15/16)

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. *For individuals paid at the UCSB minimum rate, on-schedule advancement will be to the next step at the UCSB minimum rate*

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-14  
**PROJECT SCIENTIST SERIES**  
(Revised 11/15/16)

**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. 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 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 *appointment or* 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 is to* be used, with the following wording inserted as appropriate:

*\_\_\_\_\_ is being considered for (an appointment/promotion to) Associate Project Scientist/Project Scientist in the (department/unit). Appointment (or Promotion) to Associate Project Scientist/Project Scientist within the UC system 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. [Sample wording for evaluation request: e.g., I would greatly appreciate your evaluation of \_\_\_\_\_'s work.]*

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 11/15/16)

**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.

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.

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.
- 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 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~~ *is to* be used, with the following wording inserted as appropriate:

*\_\_\_\_\_ is being considered for (an appointment/promotion to) Associate Specialist/Specialist in the (department/unit). Appointment (or Promotion) to Associate Specialist/Specialist within the UC system requires evaluation in the areas of: 1) specialized research, 2) professional competence and activity, 3) university and public service. [Sample wording for evaluation request: e.g., I would greatly appreciate your evaluation of \_\_\_\_\_'s work.]*

Reviewing agencies reserve the right to request that letters be solicited in any *appointment or* 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

V-6  
**CURATOR**  
(Revised 4/15/16)

There is no APM section describing this title. The title code for this series is 3650. At UCSB, the application of this policy is outlined in the following:

**I. Definition and appointment criteria**

An individual may be appointed to the without salary Curator title in a recognized Center or Museum when they:

- A. Have expertise in a particular discipline or collection
- B. Are a recognized authority in the particular discipline or collection
- C. Are actively involved in the management, curation, and conservation of the collection.

In addition, an individual appointment into the title of Curator is expected to:

- A. Advise the collections staff on curation
- B. Educate the public through such activities as workshops, seminars, leading tours for university classes, K-12 outreach programs
- C. Assist in grant writing and fund-raising as appropriate.

**II. Conditions of use of title**

*Appointments as Curator are on a without salary basis.* An individual appointed as Curator will continue to hold their underlying academic or staff title on a paid basis. The hiring unit will define the specific curatorial responsibilities for each appointee.

*Appointments will normally be made on a year by year basis. Appointments to this title are temporary and at will. The individual serves at the discretion of the designee of the Chancellor who holds approval authority. Termination of a without salary Curator appointment does not affect the underlying academic or staff title.*

**III. Approval authority**

Action  
All appointments

Authority  
Dean or Associate Vice Chancellor for Academic Personnel

VI-1  
**LEAVES OF ABSENCE**  
(Revised ~~11/15~~4/16)

Policies on Leaves of Absence for both academic-year and fiscal-year appointees are outlined in APM 700 – 760 *and the applicable memorandum of understanding for represented employees*. 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:
- Sabbatical Leave (APM 740)
  - Sick Leave (APM 710)
  - Family and Medical Leave (APM 715)
  - Vacation (APM 730)
  - Holidays (APM 720)
  - Leave to attend Professional Meetings (APM 752)
  - Miscellaneous Leaves (APM 750, 751, 758, 759)
  - 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, *or memorandum of understanding article* 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.



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-3  
**SICK LEAVE**  
(Revised 08/12)4/16)

Academic appointees do not accrue sick leave credit with the exception of certain groups listed below and in APM 710-14. Academic appointees who accrue sick leave shall maintain proper records to show accrual and usage of sick leave credit. In the case of illness of **appointees faculty** who do not accrue sick leave, leave with pay up to the maximums described in APM 710-11 a and b may be approved by the Dean. Leaves in excess of the APM maximums require approval of the Associate Vice Chancellor for Academic Personnel.

A. The following are eligible to accrue sick leave credit provided the appointment is at fifty percent or more time:

- Professional research series
- Specialist series
- Project Scientist series
- Librarian series
- Associate and Assistant University Librarians
- Continuing Educator
- Academic Coordinator

B. Appointees who accrue sick leave accrue at the rate of one working day per month for full-time service, including periods of leave with pay other than terminal vacation. Accrual for part time employees is based on the percent time on pay status during the month. See RB VI-8 for accrual codes.

C. Sick leave is to be used in keeping with normally approved purposes related to personal or family member illness and medical care as defined in APM 710-20.

D. **Academic appointees Faculty** who do not accrue sick leave may apply for medical leave as follows.

If appointed for one year or more the appointee may apply for up to one quarter of leave with pay due to personal illness at a time. A physician's statement assessing the prognosis for return to duty may be requested prior to approval of the leave. Should the illness require an extension beyond the initial quarter of leave with pay, a physician's statement must be provided with the request for extension. Exceptions beyond the APM maximums will be considered on an individual basis. At no time may paid medical leave exceed three consecutive quarters.

If appointed for less than one year, the appointee may apply for paid leave due to personal illness for approximately the period that would be accrued during the appointment in accord with the accrual rates in APM 710-18.

E. Accrued sick leave may also be used to care for an ill family member as defined in APM 710-20. **Appointees Faculty** who do not accrue sick leave may request up to one quarter of leave with pay for the care of a family member as defined in APM 710-20.

F. Sick leave that is granted for a serious health problem, or to care for a parent, child, spouse or domestic partner with a serious health problem may also be covered as a Family and Medical Leave (APM 715). Family and Medical leave will normally run concurrently with approved sick leave.

G. Postdoctoral Scholars (employee, fellow and paid direct) are entitled to sick leave in accord with the provisions of their collective bargaining agreement, Article 22.

**CHILDBEARING LEAVE (APM 760) AND PARENTAL LEAVE**

(Revised 08/12)4/16

- A. An academic appointee who accrues sick leave shall be granted childbearing leave with full pay to the extent of her sick leave credit. Childbearing leave may be may also be covered as a Family and Medical Leave (APM 715). Family and Medical leave, if applicable, will normally run concurrently with approved childbearing leave.
- B. An academic appointee who does not accrue sick leave and who has served in her title or any faculty title for at least one year will receive full pay for up to 6 weeks during the period of time she is unable to assume her normal University obligations due to the birth of a child.
- C. An academic appointee who does not accrue sick leave and who has served in her title for less than one year will receive full pay for approximately the period that would be accrued during the appointment in accordance with the accrual rates in APM 710-18. If additional time is needed, leave without pay will be granted for the necessary period. However, members of the Academic Senate will be covered by B) above, regardless of length of service.
- D. The request for Childbearing Leave shall include a statement of the projected delivery date.
- E. Academic appointees are eligible for parental leave for purposes of carrying out childbearing and/or childrearing responsibilities. Whenever possible, parental leaves should be requested at least three months in advance. Parental leave without pay may be granted for up to one year to any academic appointee for the purpose of caring for a child. Normally, this unpaid leave, when combined with childbearing leave and/or Active Service Modified Duties, shall not exceed one year for each birth or adoption. A leave cannot be approved beyond the end date of the appointment.
- F. *Represented academic employees are eligible for childbearing leave to the extent allowed in the appropriate memorandum of understanding and applicable state and federal law.*



VI-5

**ACTIVE SERVICE- MODIFIED DUTIES**

(Revised ~~06/06~~4/16)

- A. Periods of Active Service-Modified Duties, with pay, shall be granted on request to any academic appointee who is responsible for 50 percent or more of the care of an infant for the period before and/or immediately following a birth, or adoption of a child under age five, in order that the parent can prepare and/or care for the infant or young child. Active Service-Modified Duties is not a leave, but rather a reduction of duties. Eligibility for Active-Service Modified Duties will normally extend from 3 months prior to 12 months following the birth or placement. The period of Active-Service Modified Duties must be concluded within 12 months following the birth or placement. During this period normal duties shall be reduced. *For represented non-senate faculty, the accommodation may involve the assignment of additional resources.* Duties to be assumed during this period shall be arranged between the Department Chairperson and the appointee.
- B. For appointees who do not accrue sick leave, periods of Active Service-Modified Duties at full pay shall be granted upon request.
- C. For appointees who accrue sick leave, periods of Active Service-Modified Duties shall be granted upon request. Sick leave shall be used in proportion to the reduced work-load. If sick leave credit has been exhausted, there shall be an appropriate reduction in pay.
- D. Requests for periods of Active Service-Modified Duties must include a written statement by the academic appointee certifying that she/he has 50 percent or more of the responsibility for the care of an infant or young child. In addition, a statement describing the modified duties must be included with the request and is subject to the approval of the appropriate Dean.
- E. An individual other than the birth mother will be eligible for up to 12 weeks (one quarter) of Active Service-Modified Duties for each birth or adoption. The birth mother will be eligible for up to two quarters of Active Service-Modified Duties, or childbearing leave plus Active Service-Modified Duties. Extension beyond the normal limits requires approval by the Associate Vice Chancellor for Academic Personnel and will be approved only in exceptional circumstances.

VI-7  
**OTHER LEAVES**  
(Revised ~~10/11~~4/16)

- A. An academic appointee may be granted a leave with or without pay to attend a professional meeting or for University business. If the leave is for seven calendar days or less, APM 752 *or applicable memorandum of understanding articles* apply and the Department Chair/Director has authority. If the leave is without pay, the leave must be entered into the payroll system.
- B. Leaves of 8 or more calendar days are covered by APM 758 and 759 *and applicable memorandum of understanding articles*. Applications for such leave are made by written statement from the faculty member and endorsement by the Department Chair/Director. Leaves of more than 30 calendar days must be entered into the payroll system.
- C. Academic employees may be granted up to a one-year leave of absence without salary for professional development or personal reasons upon approval of the appropriate Dean or Vice Chancellor.
- D. Extension of a leave of absence beyond one year, whether with or without pay is not automatic and is granted only when there is a clear benefit to the campus. If an academic employee member accepts an academic or professional position elsewhere, the presumption is that additional leave will not be granted. Leaves that extend beyond one year require approval of the Associate Vice Chancellor for Academic Personnel.
- E. Lecturers in the SOE series are eligible for Educational Leave. Educational Leave is granted for the purpose of allowing Lecturers in the SOE series to engage in intensive programs of study and/or professional development, thus to become more effective teachers and scholars and to enhance their services to the University. Leave credit accrual and usage will follow the policies for accrual and use of Sabbatical Leave credits (Red Binder VI-2) Leave credit will accrue at the rate of one credit per quarter of service at 50% time or more in a qualifying title (Professor or Lecturer SOE series appointments). Nine credits will be required to support one full quarter of leave. A return to University service, equal to the time period of the leave, will be required. Failure to return to service will create an obligation on the part of the lecturer to refund the entire salary received during the leave. The process to apply for a leave as well as reporting requirements will be the same as for ladder faculty sabbatical leaves (Red Binder VI-2)
- F. Special Research leaves may be granted to allow a faculty member to accept a fellowship from an external agency. Such fellowships normally require a full release from Professorial responsibilities. In situations where the funding agency pays the faculty member directly, the faculty member will be put on a leave without salary with a dos code of LNS in payroll. In situations where the funding is administered through UCSB, the faculty member will be put onto a Professional Researcher appointment (9/12 basis) at a percentage that reflects the percentage of full salary that will be covered by the fellowship with a dos code of LWS in payroll.

If the faculty member is receiving a supplement to the leave in exchange for sabbatical leave credits, that portion of pay will be reflected on the Professorial appointment with a dos code of SLN in payroll. Faculty should be aware that not all fellowships include funding for benefits and should consult with the College prior to the period of the fellowship to determine the best options for their situation. The College providing the supplement may require a return to UCSB service, similar to the return to UC service required for sabbatical leaves.

VI-9  
COMPENSATION  
~~(11/15)~~ (Revised 4/16)

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-10  
**ADDITIONAL COMPENSATION**  
(Revised 4/15/16)

**General Policies**

Reference: APM 660

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

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

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

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

Red Binder VI-14 and VI-17 provide further detail regarding specific types of additional compensation.

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

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

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

Dates for 2015 Additional compensation

Dates for 2016 Additional compensation

<u>Month</u>	<u>Number Of Days</u>	<u>Percent time</u>	<u>Month</u>	<u>Number Of Days</u>	<u>Percent time</u>
June 15-30	12	.6316	June 13-30	14	.7368
July 1-31	23	1.2105	July 1-31	21	1.1053
Aug. 1-31	21	1.1053	Aug. 1-31	23	1.2105
Sept. 1-19	14	.7368	Sept. 1-16	12	.6316

VII-1  
**POLICIES ON OPEN RECRUITMENT FOR ACADEMIC APPOINTMENTS**  
(Revised 11/15/16)

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 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, 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. 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.

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 & Discrimination Prevention & 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.

Standing pool recruitment: A standing pool recruitment may be used to fill multiple positions at various times for temporary research or teaching positions. Pooled recruitments may be advertised for no longer than one year. All standing pool recruitment advertisements must be terminated on October 31, annually. New advertisements may begin after November 1 of each year. This is to ensure compliance with federal data reporting requirements.

**II. 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 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 or trainee status, e.g. Postdoctoral Scholars.
- 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, an approved waiver or is exempt from search due to without salary status.
- G. Without salary 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. 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 a waiver of the search requirement.

#### A. Non-Senate Titles

1. Emergency Hire: Unexpected circumstances result 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 **at UCSB** 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 **and will be continuing in the same capacity in the lab.** The waiver is valid for the duration of appointment in the same title within the same team.

To request a search waiver, the department prepares a memo addressing the following: Which category of waiver is being requested.

- Describe the reason for the request.
- Indicate the intended duration of the waiver.

The request is submitted to the Director of Equal Opportunity **& Discrimination Prevention**. The Director of Equal Opportunity **& Discrimination Prevention** 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.

**An existing waiver with an end date may be extended if the appointment continues to meet the criteria under which the waiver was originally granted. The request to extend the waiver may be included with the reappointment request and must specify the new end date.**

## **B. Senate Faculty**

1. Partner Hire: the hire of a 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. 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 diversity 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.
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.

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 waiver is being requested.
- The department vote on the request for a 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 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 & Discrimination Prevention, the Council on Planning and Budget, and the Committee on Academic Personnel prior to making a final decision. The Director of Equal Opportunity & Discrimination Prevention 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) the department may request permission to allow appointment at the next highest rank. The request will be forwarded from the department, via the Dean, and Associate Vice Chancellor for Academic Personnel, to the Executive Vice Chancellor. If the 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 ~~11/15~~ 4/16)

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:

**A. Recruiting**

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 [oiss@sa.ucsb.edu](mailto:oiss@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. The advertising period should be long enough to provide the opportunity to attract a reasonable number of applicants and a diverse pool. 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 Recruitment Plan in UC Recruit. The Recruitment Plan contains all relevant information on how the position will be advertised, how the applicants will be evaluated, and the efforts that will be made to ensure equal employment opportunity and to reach a diverse applicant pool in which women and minorities are represented.
7. Submits the Recruitment Plan in UC Recruit for review and approval by the Department Chair, the Office of Equal Opportunity & ~~Discrimination Prevention Sexual Harassment / Title IX Compliance (OEOSH/TC)~~, the Dean, and Academic Personnel.
8. Publishes the recruitment in UC Recruit after the Recruitment Plan is approved.
9. 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.
10. Performs all other good faith recruitment efforts to increase the diversity of the pool.

**B. Processing Applications and Interviewing**

1. After the close date, reviews the 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. Generates the Short List Report in UC Recruit and submits for approval in UC Recruit by the Department Chair, *Equal Opportunity & Discrimination Prevention* ~~OEOSH/TC~~, and the Dean.
4. Upon receiving 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.

### **C. Search Report and Hiring Proposal**

1. Once a potential hire has been identified, completes the 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 Search Report in UC Recruit and submits for approval by the Chair, Dean, and *Equal Opportunity & Discrimination Prevention* ~~OEOSH/TC~~

VII-5  
**PROCEDURES FOR RECRUITMENT OF  
TEMPORARY ACADEMIC POSITIONS**  
(Revised 11/15/16)

The following steps are to be taken by the Department:

**A. Recruiting**

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.
2. Determines the length of the recruitment period.
3. Determines the publications or recruitment sources to be used.
4. Sets a realistic deadline for receiving applications so that campus Equal Opportunity & Affirmative Action policy, and procedures may be carried out without undue pressures. The advertising period should be long enough to provide the opportunity to attract a reasonable number of applicants and a diverse pool. In no case may a recruitment run less than two weeks.
5. Follows established departmental and campus procedures and review criteria for the application process.
6. Completes the Recruitment Plan in UC Recruit. The Recruitment Plan contains all relevant information on how the position will be advertised, how the applicants will be evaluated, and the efforts that will be made to ensure equal employment opportunity and to reach a diverse applicant pool in which women and minorities are represented.
7. Publishes the recruitment in UC Recruit after the Recruitment Plan is approved.
8. Places any additional approved advertisements for the position. Retains all copies of advertisements as they appear in publications and online, including duration of advertisements.
9. Performs all other good faith recruitment efforts to increase the diversity of the pool.

**B. Processing Applications and Interviewing**

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**

1. Once a potential hire has been identified, completes the 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 Search Report in UC Recruit and submits for approval by the Chair, Dean, and *Equal Opportunity & Discrimination Prevention* OEOSH/TC.

VII- 7  
**SUPPLEMENTAL INFORMATION ON ACADEMIC ADVERTISING**  
(Revised ~~05/14~~4/16)

**I. General**

The ~~OEOSH/TC~~ *Office of Equal Opportunity & Discrimination Prevention*, whether the advertising source is free or for a fee, must approve all academic advertisements.

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

All academic position advertisements are posted on UCRecruit.

**II. Basic Elements of an Advertisement**

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

VIII-1  
**CAREER DEVELOPMENT AWARDS**  
(Revised 4/15/16)

The Career Development Awards are available to Senate Faculty and include three distinct awards and fellowships:

**1. FACULTY CAREER DEVELOPMENT AWARD (FCDA)**

The **Faculty Career Development Award (FCDA)** program provides Assistant Professors and Lecturers with Potential Security of Employment the opportunity to strengthen their records in research and other creative activity by providing funds to enable them to spend uninterrupted time pursuing research interests or independent study. The FCDA program is specifically geared toward non-tenured faculty who, because of the nature of their position or their role in campus affairs, have encountered significant obstacles in pursuit of their research, creative work, teaching, service, or mentoring obligations, or who have made unusually time-consuming efforts in helping to achieve campus diversity. The FCDA program is also intended to support these faculty in helping the campus in meeting the goals of academic excellence and faculty diversity by ultimately contributing to the recruitment and retention of quality faculty.

**Eligibility:** Eligible faculty include Assistant Professors and Lecturers with PSOE. Applications may be submitted by faculty who are under review for tenure or security of employment. **However, if the applicant is subsequently awarded tenure or security of employment during the award period, then he/she is no longer eligible.** This policy is consistent with the principal purpose of the program, which is to help eligible non-tenured faculty develop a substantial record in research and creative work necessary for advancement to tenure, and should be taken into account in deciding whether to apply. Faculty are eligible to receive two FCDA awards during their career.

**2. REGENTS' JUNIOR FACULTY FELLOWSHIP**

The principal purpose of the program is to help eligible junior faculty develop a substantial record in research and creative work necessary for advancement to tenure.

**Eligibility:** Eligible faculty include Assistant Professors and Lecturers with PSOE. Applications may be submitted by faculty who are under review for tenure or security of employment. **However, if the applicant is subsequently awarded tenure or security of employment during the award period, he/she is no longer eligible.** Faculty are eligible to receive two Regent's Junior Faculty Fellowships during their career.

**3. REGENTS' HUMANITIES FACULTY FELLOWSHIP**

The purpose of the **Regents' Humanities Faculty Fellowship** program is to encourage and facilitate research, advanced or independent study, or improvement of teaching effectiveness in the humanities by providing supplemental summer or sabbatical leave salary.

**Eligibility:** The Humanities Fellowship Program is open to faculty members in the regular and acting Assistant and Associate professorial series, Lecturers with PSOE, and Lecturers with SOE regardless of department affiliation. However, awards are recommended only for those whose projects are clearly humanistic (i.e., studies in language, both modern and classical; religion; literature; jurisprudence; philosophy, archaeology, the history, criticism and theory of the arts; and those aspects of history, linguistics and the social sciences that have humanistic content and employ humanistic methods) or in the creative arts (painters, sculptors, composers, writers, poets, stage designers, performers and other artists in creative fields). There is no limitation on the number of awards a faculty member may receive during their career.

An annual call is issued during fall quarter for submission of applications for the Career Development Awards. Awards are normally announced by the end of Winter quarter.

**Nature of Support:** Career Development Award funding is granted for specific research proposals and related scholarly activities. Two types of awards are available: course release (one course) or summer research funds. Applications specify which type of award is being sought during the application process.

**Evaluation Criteria** Applications for each award are carefully evaluated with respect to the following criteria:

- a. Quality of the proposal, particularly with respect to potential for long-term career opportunities and development.
- b. Timing of the proposed project in terms of critical periods of career advancement (e.g., tenure appraisal or other impending personnel reviews).

In addition, applications for FCDA award will also be evaluated for

Overall program goals, with particular consideration for prior and current obstacles to the development of a record in research and creative work necessary for achievement of tenure and further advancement.

**Administration:** The program is administered by the Office of Academic Personnel in consultation with the Office of Equal Opportunity & *Discrimination Prevention* and Deans. The Career Development Award Advisory Committee will review the proposals and make recommendations in each award category to the Associate Vice Chancellor for Diversity, Equity, and Academic Policy.

**Reporting Requirements:** At the conclusion of the award period, a brief narrative report specifying activities undertaken and the manner in which they contributed to the academic career development of the awardee is required. This report is due one month after fellowship termination and should be addressed to the Associate Vice Chancellor for *Academic Personnel Diversity, Equity, and Academic Policy*. Future awards will not be granted if this report is not received.

VIII-11  
**POLICY ON ENDOWED CHAIRS**  
(Revised 09/08/16)

**I. References:**

- A. University of California, Policy and Procedures Manual for Gifts and Endowments.
- B. University of California Academic Personnel Manual.
- C. Policy on Endowed Chairs, adopted by The Regents, effective July 1, 1996.

**II. Policy:**

- A. Background:

While General Fund appropriations remain the core support for the academic functions of the campus, the establishment of endowed chairs, fully funded through the support of private gifts, provides significant and singular benefit in the development of excellence at UCSB. These gifts permit enriched support for the teaching, research and service responsibilities of especially gifted faculty and provide a means of according such faculty public recognition of their distinguished status. They offer attractive incentives for recruitment and retention purposes. Endowed chairs, endowed professorships and all similar entities are governed by this policy.
- B. Definition:

An endowed chair is a perquisite, supported by income from an endowed fund established by gifts.
- C. Requirements for Establishing an Endowed Chair:
  - 1. The President of the University of California retains authority for establishing and naming endowed chairs. No final commitment for establishing and naming a chair shall be made to a prospective donor prior to Presidential approval.
  - 2. The corpus of a gift consisting of cash, its equivalent, or a legally binding pledge from a donor(s) of at least \$500,000 is required to establish an endowed chair.
    - a. A pledge to establish an endowed chair shall be in such form as to constitute a legally binding commitment by the donor. Pledges to The UCSB Foundation shall be supported by a binding pledge from the latter to transfer the income to The Regents at the beginning of each fiscal year to fund the chair.
    - b. Whenever possible, a pledge to fund an endowed chair shall be accompanied by partial payment, preferably at least one-third of the total, and the instrument of gift shall include a proposed payment schedule which shall not exceed a date specified at the time of Presidential approval, except in cases where there is a binding commitment to complete the funding by bequest or similar deferred gift for which there can be no predetermined termination date.
    - c. If a chair is to be funded through a campaign, the recommendation for approval of the chair and the campaign shall be presented simultaneously. Approval of an endowed chair when a campaign is involved, will be contingent upon the receipt of a specified amount by the specified closing date of the campaign, with a provision for optional use of the funds raised should they fall short of the required minimum, or with a commitment from the Chancellor to make up any deficiency from unrestricted funds available to the campus.
  - 3. The subject area of the endowed chair must be consistent with the mission of the University of California and the academic planning statement of the Santa Barbara campus. The designated field for the endowed chair is a matter of negotiation between the donor and the University. Income from the endowment will be dedicated to the academic discipline or area specified by the donor at the time of acceptance of the gift so long as that discipline or specialty remains a program within the academic plan of the campus.
  - 4. The gift instrument shall normally permit appropriate alternative distribution of the income by the

Chancellor if the subject area of the endowed chair ceases to be consistent with the University's mission or the academic planning statement of the campus. Such alternative distribution shall be as closely related to the donor's original intent as is feasible.

5. The gift instrument shall normally state that the Chancellor is given authority to add unexpended income to the original corpus.
  6. Procedure for obtaining approval for the establishment of an Endowed Chair is as follows: Recommendations shall be reviewed by the appropriate Dean and forwarded to the Executive Vice Chancellor who will consult with the Academic Senate Committee on Educational Policy and Academic Planning regarding the appropriateness of the proposed subject area. Based on the comments of the committee, the Executive Vice Chancellor will make a recommendation to the Chancellor as to the appropriateness of the Endowed Chair. Following Chancellor's approval, the President will be requested to grant approval.
- D. Appointments:
1. The term of appointment to an endowed chair will be for an initial period of five years, with subsequent terms of five years each as long as the chair holder is fulfilling the original mission and expectations of the appointment. Appointment may also be made to a series of individuals appointed successively for prescribed periods. All chair holders will be reviewed according to existing UC personnel policies.
  2. Appointment of an individual to an Endowed Chair shall be made by the Chancellor, in accordance with the normal academic review procedure for an academic appointment, including consultation with the department, college, ad hoc committee, and Committee on Academic Personnel. When a current UCSB faculty member is reviewed for appointment to an Endowed Chair, the process may be modified as appropriate. For example, a department vote is not mandatory and no ad hoc committee will be required.
  3. In the case of an administrative endowed chair, the administrative officer is automatically designated as the chair holder.
  4. The level of appointment normally shall be equivalent to the top ranks of the professor series, but appointment at lower ranks is also possible.
  5. Reappointment of an individual to an Endowed Chair may be approved by the Associate Vice Chancellor for Academic Personnel, upon favorable recommendation by the Department and endorsement by the Dean. The departmental recommendation will consist of a memo that evaluates the extent to which the chair holder is fulfilling the original mission and expectations of the appointment. While a faculty vote is not mandatory, departmental consultation must take place. Should the Department or Dean recommend termination of the appointment, CAP review will be required and the Chancellor will have final authority.
  6. Chairs that remain vacant for a consecutive period of five years will be subject to review by the Chancellor.
- E. Provisions:
1. Funds for the endowed chair provision, including the base salary and average support per FTE for the discipline, shall be provided from either campus General Funds or the Endowment income. Endowment income may be used to support salary, or a portion of the base salary. Income from the endowment may also be used for supplementary salary beyond the base salary, as determined by the fund administrator, consistent with the terms of the gift and campus procedures.
  2. Endowment income made available to holders of endowed chairs shall be used to support teaching, research, and service activities of the chair holder, in accordance with the gift terms, University regulations and according to a budget recommended annually by the chair holder to the fund administrator. Consistent with the foregoing, and following consultation with the appropriate campus administrator, a chair holder may exercise the option of designating a portion of the endowment income from the chair for use towards the academic endeavors of the Department for a



prescribed period, within proper legal constraints.

3. Endowment income for an administrative chair may be used to support the teaching, research, and service activities of the department, research unit, school, or college as determined appropriate by the holder of the chair in accordance with the gift terms as well as University and campus policies and procedures.
4. The department chairperson shall act as fund administrator unless this responsibility is designated, by the Chancellor, to another individual.
5. The occupant of the chair, as a member of the faculty, shall be entitled to the normal support funds and services available to other faculty members within the department. Such support shall not be charged against the endowed income of the chair.
6. The occupant of the chair shall be given adequate space for his/her teaching and research program, considering normal departmental and campus space allocations.
7. The holder of an appointment to an endowed chair will be expected to carry on an appropriate teaching responsibility, and normally shall teach both graduate and undergraduate courses. The appointee shall contribute to the scholarly activity of the department in which he/she resides and, through seminars and other intellectual contact with students, add to the enrichment of the academic life of the campus as a whole.
8. The Endowed Chair will be declared vacant at the time of retirement, termination, or death of the chairholder.

#### F. Disestablishment of Chair

1. The terms of the endowment shall be reviewed from time to time to ensure that chairs and professorships meet their intended purposes.
2. The President, subject to the donor's approval, and upon recommendation by the Chancellor and after consultation with General Counsel, is authorized to disestablish an endowed chair if
  - a. The subject area ceases to be consistent with the University's mission or campus academic planning statement.
  - b. the chair remains vacant for more than 5 years and the Chancellor determines there is no likelihood of filling the chair.
3. Upon disestablishment of an endowed chair the endowment income shall be redirected to the alternative purposes stated in the gift agreement or subsequent agreements between the donor and the Chancellor. If a donor is deceased and has not specified an alternative purpose, the campus shall request assistance of General Counsel in obtaining court approval for an alternative use of endowment income.

#### G. Reporting

1. The Chancellor shall provide the President annual reports on endowed chairs that have been unfilled in the previous year and those that have been disestablished. The reports should include the following:
  - Name of chair, fund number, entity that holds the endowment;
  - Name of donor;
  - Date established;
  - Subject area of chair;
  - Amount of endowment when fully funded; funding to date;
  - For an unfilled chair- how long the chair has been vacant; what use, if any, has been made of the income during the period.
  - For a disestablished chair- date disestablished; alternate use of funds approved by General Counsel.

### **III. Dickson Emeriti Professorship:**

The Dickson Emeriti Professorship will be awarded on an annual basis for a term of one academic year. There is no limit to the number of times an individual may be appointed.

Endowment funds may be used to support recall appointments for teaching, research, or public service of an emeriti *professor* ~~faculty member~~.

An annual call will be issued during Winter quarter for nominations for the next academic year. Recommendations are to be forwarded by the Department to the Executive Vice Chancellor, via the Dean. Authority to make appointments to the Dickson Emeriti Professorship will be held by the Executive Vice Chancellor. The Executive Vice Chancellor will have the discretion to make multiple appointments for any given year.

The Departmental recommendation should state the proposed use of the funds and the proposed activity's relevance to the department, unit, campus or University as a whole.

IX-30  
**POLICY AND PROCEDURES ON LAYOFF AND INVOLUNTARY REDUCTION  
IN TIME FOR NON-SENATE ACADEMIC APPOINTEES**  
(Revised 09/13)4/16)

I. Related Policies

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

II. Background

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

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

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

1. Members of the Academic Senate<sup>2</sup>.
2. Employees covered by a Memorandum of Understanding (MOU).

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

B. Determination of Layoff and Involuntary Reduction in Time.

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

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

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

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

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

IV. Procedures

A. Upon determining the need for a layoff, or an involuntary reduction in time, and the order in which it is to be accomplished, the Chair will submit a recommendation (Exhibit A), to the Associate Vice Chancellor for Academic Personnel via the appropriate Dean or Director. The recommendation shall be submitted in duplicate using the form provided and shall include the following:

1. Name of appointee to be laid off or reduced in time; appointee's rank, step, and months of service.
2. Statement of the specific conditions that make the action necessary, i.e., an explanation of why there is a lack of work, lack of funds, or discontinuance of a program.

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

E. Written notice

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

F. Layoff Status.

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

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

Preference for re-employment shall be granted to:

- a. Appointees on layoff status;
- b. Appointees whose time has been involuntarily reduced; or
- c. Appointees who have received written notice of layoff or involuntary reduction in time within the six months prior to implementation of layoff or involuntary reduction in time.

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

#### G. Reemployment

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

#### H. Appeals

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

EXHIBIT A

LAYOFF AND INVOLUNTARY REDUCTION IN TIME

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

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

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

NAME \_\_\_\_\_

TITLE \_\_\_\_\_

STEP \_\_\_\_\_

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

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

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

Name

Account number

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

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

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

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

Name \_\_\_\_\_

Rank \_\_\_\_\_

Step \_\_\_\_\_

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

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

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

I certify that the above information is correct.

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

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

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

APPROVED:

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

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

ACADEMIC APPOINTEES NON-SENATE MEMBERS  
(FACULTY)

Adjunct Series

Assistant Adjunct Professor  
Associate Adjunct Professor  
Adjunct Professor

Visiting Titles

Visiting Assistant Professor  
Visiting Associate Professor  
Visiting Professor

ACADEMIC APPOINTEES NON-SENATE MEMBERS  
(NON-FACULTY)

\*Librarian Series

Assistant Librarian  
Associate Librarian  
Librarian  
Assistant University Librarian  
Associate University Librarian

Miscellaneous Titles

Academic Coordinator

UNEX Titles

Continuing Educator

Professional Research Series

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

Associate University Librarian

Assistant University Librarian

Graduate Student Researcher

Project Scientist Series

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

Specialist Series

Junior Specialist  
Assistant Specialist  
Associate Specialist  
Specialist

\*If represented by a Union, see applicable provisions in the appropriate MOU.