To: Department Chairs, Directors, Business Officers and all faculty

From: Cindy Doherty, Director
       Academic Personnel

Re: Red Binder updates

A number of revisions to the Red Binder (UCSB campus academic personnel policies and procedures) have been posted at the Academic Personnel web site. A summary of 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, I-38 Clarification of timing of the formal appraisal

I-15, II-12, II-25, III-7, V-2 Additional reminders added to new appointment checklists

I-70 Update of basis for pay rate for recall teaching appointments to reflect APM language

II-33 Addition of references related to specific titles. Change of payroll title from Lecturer without Salary to Educator without Salary

V-1 Policy regarding accelerated advancements and advancement beyond the top of the scale for Academic Coordinators

V-20 Addition of wording for letters to external evaluators for the Professor of Practice series

V-28 Campus practices regarding Dean and 100% time Faculty administrator reviews

VI-9 Expansion of compensation description to include non-exempt appointments

VI-23 Dohrmann Loan program is being discontinued. Employees may use the UC Emergency Loan program

VII-7 Update of wording for inclusion in advertisements
VIII-11 Updates and clarifications to Endowed Chair campus procedures

IX-18 Clarification that personnel files and student academic files should be maintained separately

IX-30 Duplicate submission of reduction in time recommendations no longer required
I. Service Credit

Six months or more of service in any one fiscal year normally count as one full year of service for merit eligibility. Less than six months of service 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 be 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.

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 an individual who 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. Extension of the tenure clock does not delay eligibility for appraisal, merit, or promotion. However, the extension may be used as the basis of a request for deferral of any of these actions for a period equivalent to the extension.

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 the same advancement in rank or step each year until the 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 are 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 6th year of service but may be deferred until the 7th year. The faculty member’s deferral request along with the Chairperson’s letter of recommendation must be submitted via AP Folio.

Deferral beyond the 7th year will not be considered. The Formal Appraisal review may not be deferred, except in cases of extension of the tenure clock.
I-15
DOCUMENTS TO BE SUBMITTED BY THE CHAIR
APPOINTMENTS
(Revised 11/15)

All appointment cases are submitted via AP Folio.

I. Departmental letter of recommendation
   Accurate and analytical letters of recommendation from the department are essential in the review process. See Red Binder I-35 for further detail of content of departmental recommendations
   - Are the start date, rank and step all clearly stated?
   - Is the recommended salary on the published salary scale?
   - Is the off-scale supplement correct (if applicable), per off-scale general policies (RB I-8)?
   - Is the actual vote included (e.g. 10(yes)-0(no)-0(abstentions)-3(not voting))? Is there an indication of how many were eligible to vote?
   - Is the letter an accurate, extensive, and analytical representation of the case?
   - If the case contains extramural letters, are letter writers identified only by coded list, with no identifying statements?
   - Are the candidate's qualifications, educational background, and area(s) of specialization all discussed?
   - Are all four areas of review covered: teaching, research, professional activity and university and public service?

II. Extramural letters of evaluation and list of evaluators (Red Binder I-49)
   Extramural Letters
   - For tenured appointments, are there at least 6 letters, including letters from UC familiar referees?
   - For tenured appointments, are at least half of the letters from references chosen by the Chair/Dept independent of the candidate?
   - Have all letters been coded, on all copies?
   - If the letters were sent via email, is a copy of the email and any attachment included?

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

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

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

   The following items are submitted as hard-copy:

IV. Copies of publications
   - Has a representative sampling of publications been submitted?

V. Start-up request information. (see RB I-18)
   - Have all start-up issues been addressed?

Other considerations:

1. If a search was conducted, the search report must be approved in UC Recruit before the appointment is submitted. If no search was done, a waiver must have been approved.

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

Note: 3. When putting forward a case for a non-resident alien (i.e. not currently a US Citizen or a Permanent Resident), the department is strongly encouraged to consult with the Office of International Students and Scholars at the time the offer is being considered to be assured that labor certificate processing deadlines are met.
Formal appraisals are made "in order to arrive at preliminary assessments of the prospects of candidates for eventual promotion to tenure rank as well as to identify appointees whose records of performance and achievement are below the level of excellence desired for continued membership in the faculty" (APM 220-83).

A formal appraisal of an Assistant Professor shall normally be conducted during the fourth year of service in that title, or in combination with this and other titles counted under the eight year rule, as defined in APM 133-0 a and APM 133-0 b. Individuals appointed at the higher steps of the Assistant Professor rank may be promoted after less than four years of service, in which case an appraisal would not occur (APM 220-83 a). The formal appraisal may be deferred, by request, if the faculty member has had time off the tenure clock. The formal appraisal will not be conducted earlier than the fourth year, however, departments should be informally mentoring junior faculty throughout their Assistant Professor or Lecturer PSOE appointment.

Departments may make one of the following three recommendations in an appraisal case:

a. Continued Candidacy: indicating an assessment that the candidate is likely to eventually qualify for promotion to tenure rank.

b. Continued Candidacy with Reservations: indicating an assessment that there is an identified weakness in the record that appears to require correction in order for the individual to eventually qualify for promotion to tenure rank.

c. Terminal appointment.

The departmental vote should be taken providing the above three options rather than a yes-no vote on any one of the possible outcomes.

The departmental letter of recommendation should contain a description and analysis of the candidate's total performance in each of the four areas of evaluation and an evaluation of the performance as progress toward eventual tenure. The procedures for Expanded Reviews (Red Binder I-35) should be followed in preparing the appraisal recommendation. An appraisal done in conjunction with a Dean’s Authority merit increase is still considered an Expanded Review action.

Prior to a formal appraisal the Chair should inform the candidate of the criteria for advancement and the nature of the review process as set forth in APM 210-1 d and APM 220. This step would reasonably include a discussion of the relative value given to books versus journal articles, etc., the importance of research vis-à-vis teaching or University service, and the relative merits of long- and short-term research goals. The structure of the review process, including the responsibilities of various reviewing agencies, should also be explained fully. The candidate should be told that a formal appraisal can not result in a promise of eventual tenure. A final decision for Continued Candidacy, based as it is on an early sample of the record an Assistant Professor will present when later considered for tenure, is only a tentative prognosis. Promotion to tenure rank will require greater accomplishment in all review areas and receives a more extensive review that includes solicitation of extramural letters as well as the convening of an ad hoc review committee.

In all formal appraisal reviews the candidate will receive redacted copies of all reviewing agency reports. A decision for a Terminal Appointment shall be made only in accordance with APM 220-84.
A Senate Faculty member who has retired may be recalled to active teaching duty for one quarter or more. Retired faculty may also be recalled for research activity. A faculty member may be recalled 90 days after the date of retirement, or after receipt of the first retirement payment, whichever occurs first. However, in no case may a faculty member be recalled sooner than 30 calendar days after the retirement date. Appointments may not exceed 43% time, alone or in combination with other recall appointments. Exceptions to this limit may be granted only by the Chancellor and will rarely occur. A faculty member considering returning on a recall basis in the quarter immediately following retirement should consult with the benefits office.

Requests for recall appointments are made using the Academic Recall Appointment Form.

I. Teaching appointments

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

II. Research appointments

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

III. Administrative appointments

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

IV. Approval authority

<table>
<thead>
<tr>
<th>Title</th>
<th>Title Code</th>
<th>Approval Authority</th>
</tr>
</thead>
<tbody>
<tr>
<td>Professor Emeriti</td>
<td>1132</td>
<td></td>
</tr>
<tr>
<td>Recall: teaching</td>
<td>1700 (Recall-Teaching)</td>
<td>Dean</td>
</tr>
<tr>
<td>Recall: research</td>
<td>1702 (Recall-Faculty)</td>
<td>Associate Vice Chancellor</td>
</tr>
<tr>
<td>Recall: teaching and research</td>
<td>1702 (Recall-Faculty)</td>
<td>Associate Vice Chancellor</td>
</tr>
<tr>
<td>Recall: administrative</td>
<td>1702 (Recall-Faculty)</td>
<td>Executive Vice Chancellor</td>
</tr>
</tbody>
</table>
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 same as the last or current appointment within the department? If not, is justification for the higher salary included?
- If this is the 10th quarter of service has the salary been increased by six percent if there has not already been a six percent within range increase?
- If this is the 10th quarter of service, did a mentoring meeting take place in the 9th quarter?
- Is the Title code appropriate for the appointment?

<table>
<thead>
<tr>
<th>9/9</th>
<th>9/12</th>
</tr>
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<tbody>
<tr>
<td>Lecturer</td>
<td>1632</td>
</tr>
<tr>
<td>Senior Lecturer</td>
<td>1642</td>
</tr>
<tr>
<td>Supv. of Teacher Ed</td>
<td>2220</td>
</tr>
</tbody>
</table>

- Is the period of appointment appropriate for the service?

<table>
<thead>
<tr>
<th>9/9</th>
<th>9/12</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fall Qtr</td>
<td>10-1 to 12-31</td>
</tr>
<tr>
<td>Winter Qtr</td>
<td>1-1 to 3-31</td>
</tr>
<tr>
<td>Spring Qtr</td>
<td>4-1 to 6-30</td>
</tr>
</tbody>
</table>

- Does the assignment conform to the Departmental Workload Statement? Is the percent time accurately reflected?
- 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 **Teaching Evaluations (original only)**

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

**Other considerations:**

1. **If a search was conducted, the search report must be approved in UCRrecruit before the appointment is submitted. If no search was done, a waiver must have been approved.**

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

3. **When putting forward a case for a non-resident alien (i.e. not currently a US Citizen or a Permanent Resident), the department is strongly encouraged to consult with the Office of International Students and Scholars at the time the offer is being considered to be assured that labor certificate processing deadlines are met.**
DOCUMENTS TO BE SUBMITTED BY THE CHAIR
CONTINUING EDUCATORS
(Revised 11/15)

II-25

APPOINTMENTS
I. Departmental letter of recommendation
   Accurate and analytical letters of recommendation from the department are essential in the review process.
   See Red Binder I-35 for further detail of content of departmental recommendations:
   □ Are the dates of the appointment and the level of the appointment clearly stated?
   □ Is the recommended salary on the published salary scale?
   □ Is the JPF# from UCRecruit included?

II. Complete CV and UCSB Academic biography form
   □ Is the CV up to date?
   □ Is the UCSB Academic biography form complete, signed and dated?

III. Job Description
   □ Does the job description address program scope and complexity, degree of independence, level of
   professional accomplishment required and scope of impact on the campus mission?

IV. Letters of evaluation and list of evaluators
   Letters
   □ Have all letters been coded?
   □ If the letters were sent via email, is a copy of the email and any attachment included?

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

   List of Referees, including brief Biography and indicating who selected referees
   □ Do the codes on the letters match the codes on the list and the codes used in the departmental letter?

V. Copies of other supportive documentation
   □ Has a representative sampling of supporting documentation been submitted?

Other considerations:

1. If a search was conducted, the search report must be approved in UCRecruit before the appointment is
   submitted. If no search was done, a waiver must have been approved.

Note: 2. The Procedural Safeguard Statement is not used for new appointments. However, candidates for
appointment, once appointed, do have the right to inspect non-confidential documents in their files and to have a
redacted copy of the confidential academic review records contained in the personnel review file received pursuant
to APM 220-80-i.

REAPPOINTMENTS
I. Departmental letter of recommendation
   Accurate and analytical letters of recommendation from the department are essential in the review process.
   See Red Binder I-35 for further detail of content of departmental recommendations:
   □ Are the dates of the appointment and the level of the appointment clearly stated?
   □ Is the recommended salary on the published salary scale?

II. Job Description
   □ Is an updated job description included if there have been changes since the last review?
   □ If there have not been changes in the job description, does the departmental letter state that fact?
MERITS

I. Departmental letter of recommendation
   Accurate and analytical letters of recommendation from the department are essential in the review process.
   See Red Binder 1-35 for further detail of content of departmental recommendations:
   - Is the letter signed and dated?
   - Is the letter an accurate, extensive, and analytical representation of the case?
   - If there is a recommendation for an acceleration, are the reasons for the acceleration specifically stated?
   - In the case of a negative departmental recommendation, is the basis of the recommendation clearly documented?

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

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

IV. Safeguard Statement (RB III-5).
   A signed safeguard must be forwarded with each departmental recommendation. If it is difficult or impossible to obtain this document, the Chairperson should explain the situation and indicate in what manner he/she has attempted to meet the requirements outlined in the form.
   - Is it signed and dated?
   - If there are no confidential documents (e.g. external letters, minority opinion report), box 6.D. should be checked.
   - Are copies of everything the candidate has provided, or been provided, included with the case (e.g. redacted letters, list of potential evaluators)?

IV. Copies of supportive documentation
   - Has a representative sampling of supportive documentation been submitted, including a sampling of Extension Programs developed, teaching evaluations or other one-of-a-kind items as appropriate?
In order to serve as the instructor of record for a course that provides campus credit, or to formally advise graduate students, it is necessary to be appointed to a faculty title. In general, an individual who will perform these duties should be paid under the appropriate title as outlined in Red Binder section II. There are rare situations where use of a without salary teaching title may be appropriate. The without salary teaching title will normally be in either the Lecturer or Adjunct series as either a Lecturer without Salary (title code 1675) or the Adjunct Professor series without salary (Red Binder V-17), dependent upon the qualifications of the individual and the range of duties to be performed.

A. Individuals holding non-Senate academic research titles (e.g. Professional Researcher, Project Scientist) may be appointed to a without salary teaching title to teach classes that are directly related to the individual’s research program and/or to serve as advisors to students. Note that effort reporting implications for researchers paid from external sources must be taken into consideration.

B. Individuals holding non-research academic titles (e.g. Academic Coordinator) or staff titles (e.g. Environmental Health & Safety Officer) may be appointed to a without salary teaching title when 1) the class being taught is related to the individual’s regular job duties and 2) the individual would suffer a loss in pay if time in the regular position were reduced and replaced with a paid teaching title appointment.

C. In addition, there are occasional situations when an individual not otherwise employed by the University offers to teach a course without salary. In such cases it must be clearly documented that the individual is volunteering to teach without salary. Departments are encouraged to consult with their Dean’s office or Academic Personnel prior to initiating without salary teaching agreements.
All appointment cases are to be submitted via AP Folio.

I. **Department Letter:** Accurate and analytical letters of recommendation from the department are essential in the review process. See Red Binder I-35 for further detail of content of departmental recommendations
- Are the dates of the appointment, rank and step all clearly stated?
- Is the recommended salary on the published salary scale?
- If a request is being made to use the Engineering scale in a non-Engineering unit (RB III-12 V, A, 2) is appropriate justification provided?
- Is the off-scale supplement correct (if applicable), per off-scale general policies (RB I-8)?
- If the salary is off-scale or above scale is it rounded to the nearest $100 for the Research and Project Scientist series?
- If a vote was taken, is the actual vote included (e.g. 10(yes)-0(no)-0(abstentions)-3(not voting))? Is there an indication of how many were eligible to vote?
- If no vote was taken, is the review procedure (i.e., committee, chair/director review) explained?
- Does the departmental letter provide thorough justification for the rank, step, and salary requested?
- Does the departmental letter provide an accurate, extensive, and analytical representation of the candidate’s qualifications?
- If the case contains extramural letters, are letter writers identified only by coded list, with no identifying statements?

II. **Extramural letters of evaluation and list of evaluators** for appointment at the Associate and full level as required (Red Binder I- 46)

- Extramural Letters
  - Are the required number of letters included, including letters from UC or UC familiar referees when appropriate (RB III-12, III-14, III-16)
  - Are at least half of the letters from references chosen by the Chair/Dept independent of the candidate?
  - Have all letters been coded, on all copies?
  - If the letters were sent via email, is a copy of the email and any attachment included?

- Sample Solicitation Letter(s) and/or thank you letter(s) for unsolicited letters
  - Was the proper wording used in the letter (RB I-49 to I-50, III-12, III-14, III-16)
  - Is a list of all informational items sent to referees (e.g. CV, Bio-Bib, publications sent, etc, per RB I-51) included? Is a copy of each item included as either part of the case or a one-of-a-kind item?
  - If different versions of either the letter or the materials went out, is a sample of each included?

- List of Referees, including brief Biography and indicating who selected referees (RB I-46-V)
  - Do the codes on the letters match the codes on the list and the codes used in the departmental letter?
  - Does the list clearly indicate if the referees were candidate, department or jointly selected?
  - Are the names of everyone who was asked to write included? For those who did not respond is a reason for no response listed?

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

IV. **Copies of publications**
- Has a representative sampling of publications been submitted?

**Other considerations:**

1. *If a search was conducted, the search report must be approved in UC Recruit before the appointment is submitted. If no search was done, a waiver must have been approved.*

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

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

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

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

II. Rank and Step

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

III. Appointment Criteria

Appointment cases are to be submitted via AP Folio and using the “Documents to be submitted by the Chair” (Red Binder V-2.) 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.

A. An appointee must have a professional background of academic training and/or experience for appointment to this series. A Master’s or equivalent or other appropriate degree(s) is usually required. Certain positions may require a doctorate or equivalent experience.

B. The appropriate rank will be determined by taking into consideration such factors as program scope and complexity. APM 375, Appendix A provides guidelines for determining appropriate rank. In general, the ranks are differentiated as follows:

1. Academic Coordinator I:
   Appointees will have responsibility for programs of minimal to moderate complexity. The program will normally have a small staff, and may consist primarily of local University-related activities with limited breadth or narrow focus. The appointee will likely receive general supervision from the department chair, a faculty member or other academic or professional staff.

2. Academic Coordinator II:
   Appointees will have responsibility for programs of moderate complexity. The program will normally have a moderately-sized staff or a scope that encompasses several units or activities. The appointee is expected to manage the program with a great amount of independence.

3. Academic Coordinator III:
   Appointees will have primary responsibility for the administration, management, and coordination of large programs with broad and substantial complexity. Responsibilities will be fulfilled independently (for example, unit heads who report directly to a dean or vice chancellor). Appointments to this level will require demonstrated superior professional ability, outstanding accomplishment in job-related activities, and the assumption of greater responsibility than typically delegated to Academic Coordinators at other levels.

IV. Term of appointment

A. Appointments will normally be made for one year at a time, but may, with justification, be made for up to a maximum of three years at a time.

B. No further notice of non-reappointment is necessary for appointments at less than 50% or for appointment of less than eight consecutive years in the same title or series.

Notice of non-reappointment must be given if the employee has served at 50% or more for eight or more consecutive years in the same title or series (APM 137-30). Written Notice of Intent not to reappoint must be given at least 60 days prior to the appointment’s specified end date. The notice must
state (1) the intended non-reappointment and the proposed effective date; (2) the basis for non-reappointment; and (3) the employees right to respond within 14 days and the name of the person to whom they should respond. Within 30 days of the Notice of Intent, and after review of any response, the University will issue a written Notice of Action to the employee. Pay in lieu of notice may be given.

V. Compensation

A. Individuals appointed to this series may be compensated on an academic-year or fiscal-year basis, dependent on the nature of the position.

B. Off-scale salaries are allowed within the same limits and policies as ladder faculty off-scale salaries. (Red Binder I-8)

C. Salaries are subject to range adjustment.

VI. Advancement

Advancement cases are to be submitted via AP Folio and using the checklist of documents to be submitted by the chair for Academic Coordinator reviews (Red Binder V-2).

A. Merit increases will normally occur once every 2 years at Rank I and II and once every 3 years at Rank III. A personnel review must be conducted at least once every two years at Rank I and II and at least once every three years at Rank III. If advancement is not justified, a recommendation of “no change” may be made. Accelerated advancement may be recommended in cases of demonstrated exceptional merit. An Academic Coordinator who has reached the top step within rank will continue to be subject to review every 2 or 3 years depending on rank. Advancement at the top step within rank will normally be an increase of 5%, applied as an increase in the off-scale supplement.

B. All merits and promotions will be effective July 1. Completed cases must be submitted to the appropriate control point by May 1, preceding the effective date.

C. Advancement from one step to the next is based on merit. Promotion to a higher rank will require significant change in the scope and complexity of the program administered.

D. A request for merit advancement will require evaluation of the candidate’s performance and activity in the areas of: a) Coordination of the Academic Program, b) Professional Competence, and c) University and Public service. A request for promotion must also address the change in scope and complexity of the program administered. An updated job description must be included with each request for merit, promotion or reappointment.

VII. Approval Authority

<table>
<thead>
<tr>
<th>Action</th>
<th>Authority</th>
</tr>
</thead>
<tbody>
<tr>
<td>New appointments</td>
<td>Associate Vice Chancellor for Academic Personnel</td>
</tr>
<tr>
<td>Reappointments and merits</td>
<td>Dean or Associate Vice Chancellor for Academic Personnel, as appropriate</td>
</tr>
<tr>
<td>Promotions</td>
<td>Associate Vice Chancellor for Academic Personnel</td>
</tr>
</tbody>
</table>
All appointments and advancements are to be submitted via AP Folio

**APPOINTMENTS**

I. **Departmental letter of recommendation**
   Accurate and analytical letters of recommendation from the department are essential in the review process. See Red Binder I-35 for further detail of content of departmental recommendations:
   - Are the dates of the appointment, rank and step all clearly stated?
   - Is the recommended salary on the published salary scale?

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

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

IV. **Copies of other supportive documentation**
   - Has a representative sampling of supporting documentation been submitted?

**Other considerations:**

1. **If a search was conducted, the search report must be approved in UC Recruit before the appointment is submitted. If no search was done, a waiver must have been approved.**

**Note:** 2. The Procedural Safeguard Statement is not used for new appointments. However, candidates for appointment, once appointed, do have the right to inspect non-confidential documents in their files and to have a redacted copy of the confidential academic review records contained in the personnel review file received pursuant to APM 220-80-i.

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

**MERITS AND PROMOTIONS**

I. **Departmental letter of recommendation**
   Accurate and analytical letters of recommendation from the department are essential in the review process. See Red Binder I-35 for further detail of content of departmental recommendations:
   - Is the letter an accurate, extensive, and analytical representation of the case?
   - If there is a recommendation for an acceleration, are the reasons for the acceleration specifically stated?
   - In the case of a negative departmental recommendation, is the basis of the recommendation clearly documented?
   - Is all relevant information from the Departmental letter accurately entered on the case upload screen?

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

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

IV. **Safeguard Statement (RB III-5).**
The candidate must sign an on-line safeguard which will be forwarded with the departmental recommendation. If it is difficult or impossible to obtain this document, the Chairperson should explain the situation and indicate in what manner he/she has attempted to meet the requirements outlined in the form.
- Has the candidate signed the safeguard statement? The case may not be forwarded until the candidate has signed.
- If there are confidential documents (e.g. letters of evaluation), the appropriate box under #5 and #6 should be checked.
- Are copies of everything the candidate has provided, or been provided, included with the case (e.g. redacted letters, list of potential evaluators)?

V. **Copies of supportive documentation**
- Has a representative sampling of supportive documentation been submitted?
I. Definition

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

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

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

II. Appointment and advancement criteria

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

1. Professional competence and activity

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

2. Teaching contributions

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

3. Research contributions

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

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

III. Terms of service

1. A Professor of Practice or Visiting Professor of Practice may serve full time or part time, and with or without salary.

2. Salaried Professors of Practice or Visiting Professors of Practice may be appointed up to 100% time, but are normally appointed at 50% time or less. If appointed at 100% time, the appointee’s full professional commitment must be to the University.

3. Appointments will be made at the Professor rank, steps I through IX. Appointments may also be Above Scale. The normal period of service at steps I-IX is 3 years. Service at step IX or above scale is normally 4 years. Eligibility for normal advancement occurs after the normal time of service at each step.

4. An appointment or reappointment as Professor of Practice may be for a period not to exceed three years, normally ending on the third June 30 following the date of appointment or reappointment. Appointment or reappointment may be for a shorter duration.

5. Visiting Professors of Practice may serve a maximum of two consecutive years and may not be reappointed.

6. Appointment or reappointment in the Professor of Practice series must have a specified ending date.

IV. Compensation

1. The salary paid to a Professor of Practice will be at a negotiated annual rate. It will take into account but not necessarily be made equivalent to, the appointee’s professional income.

2. The departmental recommendation letter must justify the salary level recommended.

3. The minimum pay level for the Professor of Practice series is no less than that of Professor, Step I. Step and salary will be based on the Professorial pay scale. Off-scale salaries are permissible to the same extent as for ladder-rank faculty.

4. At least one-half (50%) of any appointment in the Professor of Practice series must be supported by non-state funds.

V. Restrictions and Conditions of Employment

1. This series does not accord tenure or security of employment.

2. This series does not convey membership in the Academic Senate.

3. Appointees in this series are subject to APM 137, Non-Senate Academic Appointees/Term Appointment.
4. Appointees in this series are not eligible for sabbatical leave, but are eligible for other types of leave with pay in accordance with APM and campus policies.

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

VI. Appointment and Advancement Processes

1. Paid appointments as Professor of Practice that exceed one year will be considered the equivalent of ladder-rank faculty appointments for purposes of appointment and advancement. Procedures and policies concerning appointment and advancement within the ladder ranks will apply to these positions (Red Binder I). The checklists for appointment (Red Binder I-15) and for advancement (Red Binder I-31 and I-34) should be used when preparing cases.

2. All advancement actions are based on the individual’s achievements. Merit increases are based on the academic record since the time of last review. Any advancement requested prior to the normative time at step will be considered an acceleration and must be justified as such.

3. All merits and promotions will be effective July 1. Completed cases must be submitted to the college by the deadlines established for ladder-faculty cases. Cases received after the due date will be returned to the Department and will not be processed. A missed deadline may not be used as justification for retroactivity in a future review.

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

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

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

The following wording should be inserted into the standard letter as appropriate:

Appointees in the Professor of Practice series are distinguished professionals, either practicing or retired, who help promote the integration of academic scholarship with practical experience. For such appointees the candidate’s record of professional competence and activity is carefully assessed as is their record of, or potential for teaching, and contributing to the research and service missions of the University.

7. Professional activity, teaching, and creative contributions may differ from standard ladder-rank professorial activities, and can also be judged on the basis of professional competence, intellectual contribution, originality, and the total value of the appointee’s engagement with the department. Evaluation of the candidate with respect to these criteria should take into account the nature of the University assignment of duties and responsibilities.
8. Appointments as Visiting Professor of Practice will follow the same process as appointment as a Visiting Professor (Red Binder II-28, V). Visiting Professors of Practice are not eligible for merit increases.

VII. Approval Authority

<table>
<thead>
<tr>
<th>Action</th>
<th>Authority</th>
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</thead>
<tbody>
<tr>
<td>All actions</td>
<td>Associate Vice Chancellor for Academic Personnel</td>
</tr>
</tbody>
</table>
The system-wide policy for Deans is set forth in Academic Personnel Manual (APM) 240. The system-wide policy for Full time Faculty Administrators is set forth in Academic Personnel Manual (APM) 246. At UCSB, the application of these policies is outlined in the following:

I. Definition

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

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

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

II. Terms of service

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

The Executive Vice Chancellor will conduct an annual assessment of each Dean and 100% Faculty Administrator and will communicate the key components of the assessment to each appointee. In addition, the Executive Vice Chancellor shall conduct a five-year review of each Dean and 100% Faculty Administrator, in accord with APM 240-80 b. (1), APM 246-80 b, and campus procedures. **Reviews of 100% time Associate Deans will be conducted by the appropriate Dean. The Dean will communicate the key components of the review to the Associate Dean and will communicate the results of the review to the Executive Vice Chancellor.** The administrative review process is separate and distinct from the academic merit process.

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

III. Salary administration

A. Establishment of salary:

Deans will be paid within the salary bands established by the Office of the President. Initial salaries will be based on prior relevant administrative experience, market factors, comparable positions on campus or within the UC system, and the individual’s professorial salary. At all times the administrative salary must remain greater than the professorial salary.
A full time Faculty Administrator’s initial salary will be based on the following factors, as applicable: prior relevant administrative experience, market factors, comparable positions on campus or within the UC system, and the individual’s professorial salary.

B. Merit increases:

*Deans and 100% Faculty Administrators found to be performing at a satisfactory level during their annual review will receive a merit increase, effective July 1, equivalent to the across the board salary increase program for Senate Faculty.*

Deans and 100% Faculty Administrators are eligible for consideration of an increase associated with the administrative salary at the time of the five-year review and reappointment. Merit increases are normally effective July 1. The amount of merit increase will be based on the five-year assessment, the candidate’s current position within the salary range and relative to other internal positions, and the availability of funding.

C. Other salary increases:

*Deans and 100% Faculty Administrators are not subject to across the board salary scale increases and associated salary programs.*

The Chancellor is authorized to approve pay increases based on equity, retention, or at the time of a five-year review in accord with APM 240-18 c. and 246-18 c.

*The amount of pay increase at the time of the five-year review will be based on the five-year assessment, the candidate’s current position within the salary range and relative to other internal positions, and the availability of funding.* Equity or retention increases may also be granted during the appointment period and should be effective July 1 to the extent possible. *Deans and 100% Faculty Administrators will be granted general salary increases or range adjustments equivalent to those granted on the underlying faculty appointment.*

D. Additional Compensation:

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

IV. Conflict of Commitment and Outside Professional Activities

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

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

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

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

V. Leaves

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

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

Deans and full time Faculty Administrators do not accrue sick leave. However appointees will be granted paid medical leave for periods of personal illness, injury, or disability, in accordance with APM 710-11. All other faculty leave polices are applicable to Dean and full time Faculty Administrator appointments (Red Binder VI-1).
Academic-year appointment
An academic-year appointment is appropriate for an individual whose 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 appointment is 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.

**Academic employees are considered exempt if they 1) have a primary appointment in a teaching or student title, or 2) have earnings that exceed the Department of Labor threshold for exempt/non-exempt classification.**

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, with the exception of Readers and Remedial Tutors who are paid on an hourly pay rate, with positive reporting of time. **Non-exempt employees will be paid at an hourly rate, based on hours reported on the bi-weekly (BW) pay cycle. Non-exempt employees are eligible for over-time pay if they work more than 40 hours in a week. For employees with multiple appointments, the determination regarding exempt/non-exempt status will take into consideration all appointments.**

Academic appointees may not be employed beyond 100% except 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 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-rat 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 till be used to determine Affordable Care Act (ACA) benefits eligibility.
The F.W. Dohrmann Loan fund has been established to provide short-term emergency loans to faculty members. The purpose of this loan is to supply funds in the case of unusual circumstances involving real and personal hardship.

Loans should not exceed $2,000 and are to be repaid through payroll deductions. All loans should be repaid within one year of issuance or at least 30 days before the ending date of the appointment, whichever comes first. Loans repaid within one year will be charged no interest; loans extending beyond a year will be charged 5% per annum.

Procedures for applying for a Dohrmann Loan are as follows:

1) Requests should be made on departmental letterhead, addressed to the Associate Vice Chancellor for Academic Personnel, 5105 Cheadle Hall (see sample below).

2) State the reason for the loan; the amount required; how monthly payments will be made; home address; telephone number and social security number of the individual requesting the loan.

Once a request has been received by the Associate Vice Chancellor, it may take up to 3 business days to approve and issue the loan. Upon approval of the loan, the recipient will be notified by phone and asked to sign an Unsecured Promissory Note, which will authorize the payroll deduction of the loan.

See below for an eligibility list by title code, for departmental use in determining who qualifies for this special fund.

Because this is a revolving account, repayment is encouraged as soon as possible, so that funds are available for other faculty members.

**Eligible Faculty For Dohrmann Loan Fund**

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<thead>
<tr>
<th>Title Code</th>
<th>Title</th>
</tr>
</thead>
<tbody>
<tr>
<td>1100</td>
<td>Professor - Nine Month</td>
</tr>
<tr>
<td>1143</td>
<td>Professor - Nine Month Business/Engineering</td>
</tr>
<tr>
<td>1200</td>
<td>Associate Professor - Nine Month</td>
</tr>
<tr>
<td>1207</td>
<td>Acting Associate Professor - Nine Month</td>
</tr>
<tr>
<td>1243</td>
<td>Associate Professor - Nine Month Business/Engineering</td>
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<tr>
<td>1300</td>
<td>Assistant Professor - Nine Month</td>
</tr>
<tr>
<td>1307</td>
<td>Acting Assistant Professor - Nine Month</td>
</tr>
<tr>
<td>1343</td>
<td>Assistant Professor - Nine Month Business/Engineering</td>
</tr>
<tr>
<td>1503</td>
<td>Senior Lecturer w/Security of Employment - Nine Month</td>
</tr>
<tr>
<td>1607</td>
<td>Lecturer w/Security of Employment - Nine Month</td>
</tr>
<tr>
<td>1977</td>
<td>Acting Assistant Professor - Nine Month Business/Engineering</td>
</tr>
</tbody>
</table>
Associate Vice Chancellor
for Academic Personnel
5105 Cheadle Hall

Dear Dr. ____________:

RE: Application for the F.W. Dohrmann Loan Fund

I would like to be considered for an emergency loan from the F.W. Dohrmann Loan Fund in the amount of $ _____ for the purpose of (complete explanation of emergency).

I would be willing to repay the loan in ____ payments of $ ____ each, beginning with the _____ payroll and ending with the _____ payroll.

Sincerely,

Faculty Name
Title

Employee ID number
Home Address
Phone Number
SUPPLEMENTAL INFORMATION ON ACADEMIC ADVERTISING
(Revised 5/16)

I. General
The 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 UC Recruit.

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 UC Recruit 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 basic qualifications from desired, additional or preferred 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 University is especially interested in candidates who can contribute to the diversity and excellence of the academic community through research, teaching and service as appropriate to the position.” In addition, 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, sexual orientation, gender identity, national origin, disability status, protected veteran status, or any other characteristic protected by law including protected Veterans and individuals with disabilities.”
POLICY ON ENDOURED CHAIRS
(Revised 09/08)

I. References

A. University of California, Policy and Procedures Manual for Gifts and Endowments.
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 fund administrator 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 Planning and Budget 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 request will be forwarded to the President will be requested to grant for formal approval.

D. Appointments:

1. Unless otherwise indicated in the gift agreement, 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 be for a shorter period, but may not exceed five years without review as described in D.5 below. 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 recommended 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 if so stated in the gift agreement.

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 if so stated in the gift agreement, however in most cases base salary will be provided through state funding of the faculty position. 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 and University policy and 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, gift agreement, 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 or resignation from the Senate faculty position, 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 to an emeriti faculty member 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 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-18
Academic Personnel Records Retention
(Revised 4/15)

The following guidelines are based on the University of California Records Disposition Schedule, available on-line at http://www.policy.ucsb.edu/information/rec-mgmt/

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

<table>
<thead>
<tr>
<th>Series</th>
<th>Office of record</th>
</tr>
</thead>
<tbody>
<tr>
<td>Librarians</td>
<td>Library</td>
</tr>
<tr>
<td>Teaching Assistants, Readers, Graduate Student Researchers</td>
<td>Department*</td>
</tr>
</tbody>
</table>

*Employment files and student academic files should be maintained separately.

I. Retention of files
Documents are to be maintained as follows:

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

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

*Items that are stored electronically in AP Folio and are accessible to the department or college do not need to be separately maintained in the department or college.

Applicant files
UC Recruit is the file of record for applicant files. Departments do not need to maintain hard copy of applicant files.

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

Teaching evaluations (student comments and ESCIs) are to be maintained for the longer of:
1) until used in a review file, or
2) as long as a need is present

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

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

7. An up to date copy of the employee’s bio-bibliography or CV.

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.

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.

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. 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

<table>
<thead>
<tr>
<th>NAME</th>
<th>TITLE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Administrative Unit</td>
<td>FUNDING SOURCE(S)</td>
</tr>
<tr>
<td></td>
<td>Name</td>
</tr>
</tbody>
</table>

**EFFECTIVE DATE OF ACTION**

**REASONS:**

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

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

<table>
<thead>
<tr>
<th>Name</th>
<th>Rank</th>
</tr>
</thead>
<tbody>
<tr>
<td>Step</td>
<td>Months of Service</td>
</tr>
</tbody>
</table>

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.