

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 follows for your convenience.

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

### **Summary of changes**

- I-10** Review of reconsideration case must be complete before a new case may be submitted.
- I-14** Update of link to Senate bylaw 55 and revised wording for letter to prospective appointees.
- I-27** Clarification of mentoring and advising as University service.
- I-46** Clarification of processes for soliciting external letters of evaluation.
- III-7** Updates to checklist of materials to be submitted with research appointments.
- III-16** Addition of steps VI-IX in the Specialist series to reflect changes to the APM.
- IV-1, VI-3, VI-4** Updates to leave entitlements for Graduate Student Researchers to reflect campus practice.
- VII-4** Clarification of recruitment documentation requirements.
- IX-20** Reference SVSH policies and general updates of language.

I-10  
**RECONSIDERATION**  
(Revised ~~10/11~~)

After a decision has been announced in a personnel case, the departmental Chairperson may request a reconsideration of the decision. This course of action may be pursued only when there is new documentation relating to accomplishments already in place prior to the deadline for submission of materials (Red Binder I-2), or when the department can make a compelling argument that reviewing agencies neglected important features of the case. Evidence for the latter ground for reconsideration is most often provided by the candidate, based on the copy of non-confidential documents and the redacted copy of the confidential academic review records contained in the personnel review file received pursuant to APM 220-80-i. Chairpersons should avoid "routine" or "automatic" resubmission of requests for reconsideration. On the other hand, when a compelling argument for reversal of the original decision can be documented, the Chairperson should carefully present the evidence for reconsideration. Reconsideration of a case must be requested *and the review completed*, prior to the submission of any subsequent personnel case.

Departmental practices are variable on the degree of consultation with the voting faculty necessary in a case for reconsideration. While a new vote on a case for reconsideration is desirable, it is not required. However, the voting faculty must be consulted, and the form of this consultation, as well as the comments expressed by voting faculty, are to be reported in the Chairperson's letter. The candidate has the same rights of access as in the original case. The Chair should ensure that any additional letter writers or faculty members expressing comments are not identified in the departmental letter except by means of a coded list appended to the departmental letter. The reconsideration case will undergo the same review process as the original case, with the provision that no ad hoc committee review will take place during the reconsideration process.

**Note:** For guidelines concerning reconsideration of a terminal year appointment see Red Binder I-39.

**SENATE FACULTY APPOINTMENTS**

(Revised 5/17)

Senate faculty appointments may be made in academic departments or in programs. At UCSB, the term "program" is used not only in reference to those sequences of courses leading to degrees but also to those academic/administrative units that have not yet attained departmental status but "from which academic appointments and promotions are recommended to administrative officers" (Bylaw 55 of the Academic Senate). As such, the provisions of Bylaw 55 shall apply: <http://www.universityofcalifornia.edu/senate/manual/blpart1.html#b155>  
<http://senate.universityofcalifornia.edu/bylaws-regulations/bylaws/blpart1.html>

A faculty member's rights are vested in any department or program in which he/she holds a salaried appointment carrying Senate membership. Non-salaried affiliations in departments or programs do not carry with them voting privileges or other rights not explicitly made part of such appointment agreements. A brief description of types of appointments and rights follows.

A faculty member accepting transfer from one department or program to another relinquishes thereby his/her rights in the original department or program.

**I. Types of Appointments**

1. Salaried appointments in a single department or program.
  - a. The appointment is in one department or program
  - b. The faculty member's voting rights are vested in the department or program.
2. Joint salaried appointments in departments or programs.
  - a. Each appointment carries with it a percent of full time and salary in each department or program.
  - b. The faculty member maintains voting rights in each department or program.
  - c. When a faculty member is being considered for a merit or promotion, each department or program must provide a recommendation.

A request for joint appointment, either at the time of initial appointment or related to a temporary or permanent transfer of FTE at a later date, should be discussed and voted upon by the faculty in both departments/programs. The request from both Chairs/Directors, should be sent via the Dean, to the Associate Vice Chancellor for Academic Personnel indicating the vote of the faculty, effective begin date, end date (if any), and percentage of time in each department. Each department is responsible for assuring that a partial FTE has been approved for use.

3. Without salary appointments.  
Faculty who take on full time administrative positions or who are released to specific programs (KITP, Station Q) retain a without salary faculty appointment in their home department. Full voting rights are maintained in the department.

4. Affiliated status

A Senate faculty member who participates in instructional activities in a department or program in which he/she does not hold a salaried appointment may receive affiliated status in the host department or program.

- a. The faculty member has no voting rights in the host department or program.
- b. The host department or program is not required to vote on the affiliated faculty member's personnel case, but may be asked to provide a statement of departmental activities carried out under the affiliated status.
- c. An affiliated appointment with an indefinite end date may be terminated on the recommendation of a majority of the voting members of the department or program.

A request for affiliated appointment should be approved by the voting members of the host department/program with the endorsement of the home department. The request from both Chairs should indicate an effective begin date and end date (if any) and should be submitted to the Associate Vice Chancellor for Academic Personnel, via the Dean.

Senate faculty from another UC campus may be given an affiliated appointment at UCSB. A request from the host department indicating the begin and end date of the appointment as well as the reason for the affiliation should be submitted to the Associate Vice Chancellor for Academic Personnel, via the Dean.

Affiliated appointments are not entered into the payroll system.

5. Other "Professor" titles

For appointments of Adjunct or Visiting Professors refer to Red Binder V-17 and II-28. For Emeriti appointments refer to Red Binder I-70.

## II. Appointment Criteria

All new appointments should be consistent with affirmative action guidelines (see Red Binder Section VII).

Non-tenured appointments are made in the expectation that the appointee will meet standards for a tenure appointment by the time that a promotion decision is due. Recommendations for non-tenure level faculty appointments must provide: a) clear evidence of potential excellence in both teaching and research; and b) clear evidence that the proposed appointment relates in a significant manner to established or projected programmatic needs of a department or unit.

Recommendations for tenure-level faculty appointments must provide: a) clear evidence of nationally recognized excellence in published research (or other creative work) as well as evidence of excellence in teaching; b) clear evidence that the proposed appointment is essential to an academic program of high quality and stature; and c) clear evidence of continuing scholarly productivity. For the level of excellence required for specific ranks and steps, consult APM 210-1 d. These criteria are also summarized in Red Binder I-40 through I-43. The difficulties of recruiting at this level of excellence require a considerable investment of time and energy in the recruitment process.

Departments should be prepared to engage in multiple-year searches in order to make the best possible appointments. The open provision for the recruitment will normally be available to the department for the duration of the search process, as long as funding continues to be available.

A recommendation for appointment must fully conform to the highest level of academic excellence and programmatic need. If, after rigorous review, significant and credible doubts exist about a candidate's academic qualifications, the appointment will not be approved.

Furthermore, it is strongly recommended that the Chair discuss the proposed rank, step, salary level, and start-up expenses of a new appointment with the Dean prior to submitting a recommendation for the appointment.

## III. Letter to Prospective **Ladder Senate Faculty** Appointees

After discussion with the Dean as described in the preceding paragraph, the department may communicate to the candidate its intention to recommend an appointment.

The recommended wording for department letters to prospective ladder appointees is as follows:

I am happy to inform you that our Department of \_\_\_\_\_ intends to recommend you for appointment as \_\_\_\_\_ at a salary of \_\_\_\_\_, effective July 1, \_\_\_\_\_. As you know, appointments in the University of California are only made by the Chancellor of the campus after careful review of the departmental recommendation by the Chancellor, in consultation with reviewing agencies, including the dean of the College and the campus Committee on Academic Personnel, as necessary. Approval of departmental recommendations is not automatic, and departmental recommendations do not constitute actual offers. Following the review process, actual offers of appointment are extended by the Executive Vice Chancellor, Chancellor or Regents as appropriate.

*I am pleased to recommend you for an appointment as \_\_\_\_\_ in the Department of \_\_\_\_\_ at the University of California, Santa Barbara. On behalf of my colleagues, and with the enthusiastic support of Dean \_\_\_\_\_, I would like to express our excitement at the prospect of your joining our faculty. According to the procedures of the University of California, formal review of the recommendation is necessary prior to the final approval of your appointment by the Chancellor. The department is recommending that you be appointed as a/an \_\_\_\_\_ with a 9-month salary of \$\_\_\_\_\_ at 100% time effective, \_\_\_\_\_. The exact step and annual salary will be determined by the academic personnel appointment review process. Following the review process, formal offers of appointment are extended by the Executive Vice Chancellor or Chancellor.*

#### **IV. AAU Deadlines**

Department should be mindful of the AAU recruitment deadline of April 30 and the Intercampus deadline of April 1. Please refer to APM 500-16.

#### **V. Offer Deadlines**

The department will be contacted by the College or Academic Personnel concerning the response deadline the department wishes to give to the candidate. It is the department's responsibility to notify the College and the Office of Academic Personnel when an offer has been either accepted or declined.

#### **VI. Other Deadlines**

Departments should also take into consideration other guidelines established by organizations specific to their field (i.e., Council of Colleges of Arts and Sciences).

When making an offer to 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.

#### **VII. Approval Authority**

<b><u>Rank/Step</u></b>	<b><u>Authority</u></b>
Assistant Professor II, III, including Acting titles	Dean
Assistant Professor IV and V	Associate Vice Chancellor
Associate Professor, Professor	Chancellor
Affiliated Appointments (0% or without salary)	Associate Vice Chancellor
Lecturer PSOE	Dean
Lecturer SOE, Sr. Lecturer SOE	Chancellor

**INSTRUCTIONS FOR COMPLETION OF THE****BIO-BIBLIOGRAPHY**

(Revised 5/16)

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

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

Departments may establish earlier submission dates if they desire. Information that falls beyond the cut-off date will not be considered in the review. Departments may require that the bio-bib be updated and submitted on an annual basis to assist the chair in the annual review of all Senate faculty (APM 220-80 b.)

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

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

**Short Curriculum Vitae**

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

**Research**

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

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

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

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

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

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

\* for items previously listed as Work In Press

\*\* for items previously listed as Work Submitted

\*\*\*for items previously listed as Work In Progress

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

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

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

#### Teaching (For Senate Faculty only)

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

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

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

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

#### Professional Activity

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

#### University and Public Service

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

**GUIDELINES FOR LETTERS OF EVALUATION**

(Revised 05/14)

**I. Solicited letters**

When letters of evaluation are solicited, the models on the following pages should be used. These letters may be modified slightly; for example the confidentiality statement may be listed on a separate sheet as an attachment referenced in the body of the letter. “Please see the attached University of California statement on confidentiality.” Although the content may be rearranged, none should be deleted, *nor should substantive information be added*, without prior approval by the Office of Academic Personnel. Departments may choose to use a two-stage solicitation process whereby individuals are first asked, by memo or e-mail, if they would be willing to provide a letter. Those that agree will then be sent materials for review.

**II. Unsolicited letters**

When unsolicited letters of evaluation are received from an individual or institution, a response should be sent which explains the University's position on the confidentiality of such records. See sample wording H, “Sample thank you letter for unsolicited comments.” Unsolicited letter writers should be listed on the list of extramural letter writers and a copy of the thank you letter must be included with the case.

**III. Letters for Assistant Professor/*Lecturer PSOE* Appointments and Restricted letters**

Restricted letters or placement files may be used in Assistant Professor/*Lecturer PSOE* appointment cases of candidates who have not held prior academic positions post-terminal degree. Appointments requested at the Assistant Professor IV or V level, or for candidates who have held prior academic positions post-terminal degree, should preferably contain evaluator letters solicited by the department or submitted as part of the applicant file. *Appointment files at the Assistant Professor/Lecturer PSOE level will normally contain at least three or four external letters.*

When letters of evaluation are received from individuals or institutions that have restrictions placed on the use of the materials forwarded, the sending individual must be notified that under applicable University policy and legal standards the department cannot accept and use evaluations under such restricted conditions. There are two reasons:

1. When a candidate is appointed, evaluations considered at the time of appointment become part of his/her permanent academic personnel record.
2. The University is legally required to maintain, for at least two years, documentary materials pertaining to all applicants in a completed search.

In addition, such material may be relevant in litigation in which discrimination in the appointment process is alleged, or in federal or state agency proceedings that inquire into compliance with applicable governmental affirmative action standards. Therefore, when a department receives a file with such limitations on use, the sending individual should be informed that the Department can not accept the material under the conditions stated. Sample wording I, “Restricted Material” may be used in these circumstances. If the sending individual requests that the file not be used, the evaluatory material in the file can not be considered by the department. Placement files from other UC campuses may be used in an appointment case without being considered restricted. However, placement files from any other University must be treated as restricted if the cover sheet includes a statement indicating that the letters will not be used for any personnel case purpose.

**IV. Letters for tenured appointments/*promotion and career advancements***

Letters should come from tenured faculty at distinguished institutions, preferably from full professors. Letters from UC familiar reviewers, are necessary for all tenured appointments, promotions and career reviews. Letters from UC familiar writers are essential for appointment/advancement to Professor VI and Professor Above Scale, preferably from faculty already at these senior ranks. Departments should strive to include at least two UC familiar letters for cases in which such letters are required. At least half of the letters submitted with the case should come from references chosen by the Chair in consultation with the department but independent of the candidate. The letters solicited by the department should come from scholars who have not been closely associated with the candidate as collaborators in research, or as teachers, colleagues, or personal friends. A minimum of six analytic letters is



required. Typically, more than six letters will have to be solicited in order to achieve this minimum.

1. **Appointment cases:** *When the department is unsure of the exact rank or step to be proposed, a combination of the sample solicitation wording may be used. For example, the language for appointment as Professor I-V and appointment as Professor VI-IX may both be used if the step is not yet clear.*
2. **Advancement cases:** *Faculty undergoing career reviews have the right to suggest names of potential external evaluators (Red Binder I-22, 7.) The candidate should be advised of the parameters governing the mix of external evaluators.* It will be helpful for the candidate to know that a request not to use certain potential evaluators will be made part of the review file and, while such requests may be disregarded (if proper evaluation requires such action), they are made and honored regularly and that a reasonable request should in no way jeopardize the candidate's case. An effort should also be made not to contact individuals who have contributed letters for prior reviews of the same candidate

Any deviation from the above requirements (i.e. less than two UC familiar evaluators, fewer than six letters, an uneven mix between department and candidate nominated) should be fully explained by the department *in the coded list of evaluators.*

Any reviewing agency may request, through the Office of Academic Personnel, that the file be augmented by additional extramural letters if the letters supplied with the case are viewed as inadequate for proper evaluation of the case. Since such requests delay the review of the case, it is important that the letters supplied by the department meet the above requirements.

#### **V. List of evaluators and additional information**

The Chair must submit a list of all persons from whom an extramural letter was solicited (Red Binder I-48). The list must indicate which names were submitted by the candidate and which were submitted by the department. In addition the list must contain the following information for individuals who provide letters: name, position/title, institution, field of expertise, past collaborative relationship with the candidate, and any past reviews for which the letter writer also contributed a letter. Similar information must be provided for any unsolicited letters included in the file. Special attention should be given to describing the qualifications and stature of the extramural referees. For individuals who either did not respond to the initial request to write or declined to write, only their name and home institution need be included on the list. The list should be accompanied by a master copy of the letter requesting evaluation, a list of the materials sent to the letter writers, and a copy of all items that were sent to the referees (e.g., C.V., bibliography, reprints, manuscripts, and so forth) if they are not already included with the case of one-of-a-kind materials. The manner in which referees were selected should be described (e.g., "by departmental ad hoc committee", "by Chair in consultation with three senior colleagues", and so forth). The Chair should ensure that individuals who have provided confidential letters of evaluation are not identified in the departmental letter, except by means of a coded list *uploaded appropriately with the case.* ~~appended to the department letter.~~

#### **VI. Additional Information**

If letters are solicited, but the decision by the department is to not forward an advancement case, the letters must be maintained by the department and be included in the next advancement case along with any new letters solicited. However, if the letters are not used within three years, they may be destroyed.

If electronic mail is used to solicit or receive letters of recommendation the sample letter format must be followed, and a printed copy must be retained. Redaction of electronic responses should eliminate all headers and footers that would identify the sender. If the response is sent as an e-mail attachment, the e-mail and the attachment must both be included in the case, both properly redacted.

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

When an individual holds appointments in more than one department (joint appointments), the departments may solicit letters jointly, if appropriate.

Contact between the Chair and individuals from whom letters are being solicited is permissible in order to encourage response, but great care must be taken to not bias or influence the judgment of the referee.



III-7  
**DOCUMENTS TO BE SUBMITTED BY THE CHAIR**  
**RESEARCH APPOINTMENTS**  
(Revised 11/16)

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 *description of the duties to be performed as* justification for the rank, *step, and salary* requested?
  - Does the departmental letter provide an accurate, extensive, and **analytical** representation of the candidate's qualifications, *justifying the proposed step and salary*?
  - 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.

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.

III-16  
**SPECIALIST SERIES**  
(Revised 5/17)

**I. Definition**

The Specialist series is used for academic appointees who engage in specialized research, professional activity, and University and/or public service, and who do not have any teaching responsibilities. See APM 330 for System Wide policy on Specialists.

**II. Ranks and Steps**

- A. Jr. Specialist I-II
- B. Assistant Specialist I - III
- C. Associate Specialist I - IV
- D. Specialist I – ~~V~~ IX

**III. Appointment and Advancement Criteria**

Appointees to the Specialist series are expected to use their professional expertise to make scientific and scholarly contributions to the research enterprise of the University and to achieve recognition in the professional and scientific community. Specialists may participate in University and/or public service depending upon funding source and the duties of the position.

The following qualifications are general guidelines for each rank:

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

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

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

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

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

In judging a candidate for appointment or promotion to a position in this series, the following criteria are provided as guidelines and may be used flexibly where deemed necessary.

- 1. Performance in research in the defined area of expertise and specialization.
- 2. Professional competence and activity.
- 3. University and public service

**IV. Term of Appointment**

- A. There are no limits on service at any level in this series.
- B. Appointments may be made for up to one year at a time at the Junior Specialist Rank, for up to two years at a time at the Assistant and Associate Specialist rank, ~~and~~ for up to three years at a time at the full Specialist rank *steps I-VIII and for up to four years at a time at the full Specialist rank steps IX or Above Scale.*

## V. Compensation

- A. Individuals appointed to this series are compensated on the salary scales established for the Specialist Series on a fiscal year (11 month) basis.
- B. Off-scale salaries are allowed within the same limits and policies as ladder faculty off-scale salaries. (Red Binder I-8)
- C. Salaries are subject to range adjustment.
- D. Each source that provides compensation for service in this series must permit research.

## VI. Requests for Appointment and Advancement

### Appointment

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

### Reappointment

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

### Advancement: Merit and Promotion

Advancement cases are to be submitted via AP Folio and using the checklist of documents to be submitted by the chair for research reviews (Red Binder III-9). All advancement actions are based on the individual's achievements. Normal advancement will occur after one year at step at the Junior level, two years at step at the Assistant and Associate level and after three years at the Full Specialist level, steps I-~~IV~~ IX, and after four years at step ~~V~~ IX and within Above Scale. Any advancement requested prior to that time will be considered an acceleration and must be justified as such. Merits are based on the academic record since the time of last review while promotions are based on the career academic record. Advancement to Above Scale status involves an overall career review and requires work of sustained and continued excellence with national or international recognition, outstanding professional achievement, and highly meritorious service. See Red Binder I-43 for further guidance regarding Above Scale status.

All merits and promotions will be effective July 1. Completed cases must be submitted to the Academic Personnel Office by **April 1**, preceding the effective date. Cases received after the due date will be returned to the Department and will not be processed. A missed deadline may not be used as justification for retroactivity in a future review. Deferral will be automatic if a Specialist does not submit material by the departmental due date and no case is forwarded by the department.

Appointees in the Specialist 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

### **Chair/Director Letters of Recommendation**

The Chair/Director's letter of recommendation for appointment or advancement should include an

evaluation of the candidate's work and an evaluation of the candidate's contributions to the group effort, if relevant. In addition to the foregoing, recommendations for promotion must provide documentation of the scientific, technical, or otherwise creative contributions of the candidate (as contrasted to contributions to a group effort). Each unit should establish set procedures for evaluation of Specialist series appointments and advancements and development of the letter of recommendation. While review done solely by the Director or PI is acceptable, a fuller review, including input from other equal or higher ranking individuals in the unit is preferable.

**Bio-Bibliography**

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

**External Evaluation**

While extramural letters of evaluation are not required for appointment, promotion, or advancement to Above Scale in the Specialist series they may, in some cases, be helpful in evaluating the candidate's record. When letters are solicited, the sample letter for solicitation of extramural evaluators (Red Binder I-49) is to be used, with the following wording inserted as appropriate:

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

Reviewing agencies reserve the right to request that letters be solicited in any appointment or advancement case if it is determined that more information is necessary to support the proposed action.

**VII. Approval Authority**

Action

All actions

Authority

Associate Vice Chancellor for Academic Personnel

IV-1  
**STUDENT ACADEMIC TITLES**  
**General Information**  
(Revised 11/15)

I. Academic Student Employee agreement

Appointees to the titles of Teaching Assistant, Associate in\_\_\_, Reader, and Remedial Tutor are covered by the Memorandum of Understanding (MOU) between the University and the UAW. The full contract is available on the Academic Personnel website at

<https://ap.ucsb.edu/policies.and.procedures/collective.bargaining.agreements/> .

Graduate Student Researchers are not covered by the MOU.

II. Employment Eligibility

A. Student appointees must maintain good academic standing. Good academic standing requires a grade-point average of at least 3.0 in academic work, fewer than 12 units of incomplete or no grades, and status within time to degree standards.

B. Student appointees must be enrolled in a minimum of 8 units in a recognized program of graduate study, and must be within the appropriate degree deadlines. Exceptions may only be granted by the Dean of the Graduate Division.

III. Limitations on Service

A. The appointment or reappointment of a student in an academic title must be at half-time (50%) or less for the period of one year or less. Percent time limitations apply to all appointments or combined appointments in any employment title. Exceptions are granted only as outlined in the Red Binder sections on specific titles. There are no exceptions to the 50% time restriction for non-citizens or appointees to the Associate title.

B. The total length of service rendered as a Teaching Assistant or Associate in any combination of the two titles may not exceed four years (i.e., 12 academic year quarters.) Exceptions may be requested for an additional two years (6 academic year quarters), but in no case for more than 18 quarters.

IV. Pay Schedule

A. Student teaching appointments (Teaching Assistant, Associate, Reader) are academic year appointments and are paid on a 9/9 basis.

B. The pay period for Fall quarter for Teaching Assistants and Associates may consist of four months, September 1 through December 31, allowing students to receive their first check on October 1. The monthly amount of pay for four months of fall quarter is adjusted accordingly so that the total quarterly payment remains the same. Winter and Spring quarters remain on a 9/9 pay basis. The four-month pay period for Fall is optional. The appropriate payroll paperwork must be processed before mid-September if the four-month Fall schedule is to be used.

C. Graduate Student Researchers are appointed on a fiscal year (11/12) basis. The appointment start and end dates should coincide with the actual service begin and end dates.

V. Benefits

A. Graduate student employees covered by the MOU are eligible for fee remission in accord with the MOU. Graduate Student Researchers are eligible for fee remission in accord with Red Binder IV-10.

B. Graduate students with appointments in covered titles are eligible for leaves of absence from their employment as outlined in Article 17 of the contract. Requests for leave should be made in writing, addressed to the supervisor as soon as the need for the leave is known. Leaves are granted only with approval of the Departmental Chair.

***Graduate Student Researchers are eligible for leaves of absence in accord with Red Binder VI-3 and VI-4.***



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

VI-3  
**SICK LEAVE**  
(Revised 5/16)

Academic appointees do not accrue sick leave credit with the exception of certain groups listed below and in APM 710-14. Academic appointees who accrue sick leave shall maintain proper records to show accrual and usage of sick leave credit. In the case of illness of faculty (as defined in APM 110 F (15) who do not accrue sick leave, leave with pay up to the maximums described in APM 710-11 a and b may be approved by the Dean. Leaves in excess of the APM maximums require approval of the Associate Vice Chancellor for Academic Personnel.

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

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

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

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

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

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

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

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

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

G. *Postdoctoral Scholars (employee, fellow and paid direct) are entitled to sick leave in accord with the provisions of their collective bargaining agreement, Article 22. Represented academic employees are eligible for medical leave to the extent allowed in the appropriate memorandum of understanding and applicable state and federal law.*

H. *Graduate Student Researchers are eligible for up to four weeks of paid leave due to the Graduate Student Researchers own serious health condition, or to care for a family member who has a serious health condition. In addition, a parent other than the birth-mother is eligible to use this paid leave for baby-bonding and will be eligible for up to another two weeks of unpaid leave for baby-bonding. The total period of combined pregnancy, childbirth, medical (Red Binder VI-4 H), and sick leave may not exceed six-weeks within an academic year.*

VI-4  
**CHILDBEARING LEAVE AND PARENTAL LEAVE**  
(Revised 5/17)

- A. Academic appointees are eligible for childbearing and parental leave as guaranteed by applicable state and federal law, including but not limited to, the Federal Family and Medical Leave Act (FMLA), the California Family Rights Act (CFRA), and the California Fair Employment and Housing Act (FEHA). In addition, the University provides leave benefits as follows:
- B. An academic appointee who accrues sick or vacation leave shall be granted childbearing leave with full pay to the extent of her sick or vacation leave balance. Childbearing leave may be may also be covered as a Family and Medical Leave (APM 715). Family and Medical leave, if applicable, will normally run concurrently with approved childbearing leave.
- C. An academic appointee who does not accrue sick leave and who has served in her title or any faculty title for at least one year will receive full pay for up to 6 weeks during the period of time she is unable to assume her normal University obligations due to the birth of a child.
- D. An academic appointee who does not accrue sick or vacation leave and who has served in her title for less than one year will receive full pay for approximately the period that would be accrued during the appointment in accordance with the accrual rates in APM 710-18. If additional time is needed, leave without pay will be granted for the necessary period. However, members of the Academic Senate will be covered by B) above, regardless of length of service.
- E. Academic appointees are eligible for parental leave for purposes of carrying out childbearing and/or childrearing responsibilities. Whenever possible, parental leaves should be requested at least three months in advance. Parental leave without pay may be granted for up to one year to any academic appointee for the purpose of caring for a child. Normally, this unpaid leave, when combined with childbearing leave and/or Active Service Modified Duties, shall not exceed one year for each birth or adoption. A leave cannot be approved beyond the end date of the appointment.
- F. Requests for childbearing leave or parental leave must be submitted via the Department Chair or Director to the Dean or Associate Vice Chancellor for Academic Personnel for approval. A childbearing leave request should include a statement of the projected delivery date. The period of the leave may be adjusted as necessary after approval.
- G. Represented academic employees are eligible for childbearing leave to the extent allowed in the appropriate memorandum of understanding and applicable state and federal law.
- H. *Graduate Student Researchers are eligible for up to six weeks of paid leave for pregnancy, childbirth, or related medical conditions for the period prior to, during, and after childbirth and up to two additional weeks of unpaid leave for baby bonding. The total period of combined pregnancy, childbirth, medical, and sick leave (Red Binder VI-3 G) may not exceed six-weeks within an academic year.*

VII-4  
**PROCEDURES FOR RECRUITMENT OF  
SENATE FACULTY AND OTHER PERMANENT ACADEMIC APPOINTMENTS**  
(Revised 5/16)

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

The following steps are to be taken by the Department:

**A. Recruiting**

1. Form a search committee. The committee must include one faculty member designated as the departmental equity/diversity advisor.
2. Determines the length of the recruitment period.
3. Determines the publications or recruitment sources to be used. *Advertising through the JobElephant service is highly recommended to assure* ~~Note: The ad must appear in at least one print (non electronic) journal, two websites and one additional publication (print or electronic) to satisfy Labor Certification requirements~~ *are met* should the eventual hire be a non-US citizen. ~~Copies of the posted ads as well as the dates of their posting are required.~~ If JobElephant is not used, the department should consult with ~~Additional questions regarding immigration requirements may be directed to~~ the Office of International Students and Scholars at [oiss@sa.ucsb.edu](mailto:oiss@sa.ucsb.edu) *to assure current Labor Certification requirements are met.*
4. Sets a realistic deadline for applications so that campus Equal Opportunity & Affirmative Action policy and procedures can be carried out without undue pressures. The advertising period should be long enough to provide the opportunity to attract a reasonable number of applicants and a diverse pool. Permanent positions must be advertised for at least 30 days.
5. Follows established departmental and campus procedures and review criteria for the application process.
6. Completes the Recruitment Plan in UC Recruit. The Recruitment Plan contains all relevant information on how the position will be advertised, how the applicants will be evaluated, and the efforts that will be made to ensure equal employment opportunity and to reach a diverse applicant pool in which women and minorities are represented.
7. Submits the Recruitment Plan in UC Recruit for review and approval by the Department Chair, the Office of Equal Opportunity & Discrimination Prevention, the Dean, and Academic Personnel.
8. Publishes the recruitment in UC Recruit after the Recruitment Plan is approved.
9. Places any additional approved advertisements for the position. Retains all copies of advertisements as they appear in publications and on-line, including the duration of advertisements.
10. Performs all other good faith recruitment efforts to increase the diversity of the pool.

**B. Processing Applications and Interviewing**

1. After the close date, reviews the quality of application materials. When an applicant pool does not contain sufficiently qualified people to fill a vacancy, it may become necessary to extend or reopen a search. The department is responsible for repeating the requisite steps as necessary.
2. Consults with the Dean's office to schedule the Dean review of the applicants. College requirements may vary.

3. Generates the Short List Report in UC Recruit and submits for approval in UC Recruit by the Department Chair, Equal Opportunity & Discrimination Prevention, and the Dean.
4. Upon receiving the approval of the Short List Report, contacts prospective candidates and invites them to campus for an interview. Additionally, ensures that the proposed interview schedule is appropriate and that it is applied uniformly to all candidates.

**C. Search Report and Hiring Proposal**

1. Once a potential hire has been identified, completes the sections labeled "Search Report" in UC Recruit.
2. Updates applicant's status in UC Recruit and enters disposition reasons for all applicants including those who were interviewed but were not selected for the position.
3. Generates Search Report in UC Recruit and submits for approval by the Chair, Dean, and Equal Opportunity & Discrimination Prevention.

IX- 20  
**PROCEDURE FOR NON-SENATE ACADEMIC  
APPOINTEES CORRECTIVE ACTION AND DISMISSAL**  
(Revised 09/13)

**I. Related Policies**

APM 150 provides the standards and procedures for corrective action or dismissal of non-Senate academic appointees. APM 140 describes the University policy regarding the grievance procedure for non-Senate academic appointees. *The UCSB Local Procedures for Reported Staff & Non-Faculty Academic Personnel Violations of the UC Policy on Sexual Violence and Sexual Harassment describes the UCSB procedures or corrective action in cases involving a violation of the UC Policy on Sexual Violence and Sexual Harassment.*

**II. Background**

Corrective action or dismissal may be instituted for good cause, including but not limited to misconduct, unsatisfactory work performance, or dereliction of duty. For non-Senate academic appointees who are subject to peer review for performance evaluation, demotion and dismissal shall involve the regular peer review process. Such peer review shall be advisory to the *Dean of the school or college under whose jurisdiction the department or employing unit falls, the University Librarian for Library personnel, or the Dean of Director of University Extension for Extension employees.* ~~When the employing unit does not report to any of the above indicated officers, authority to take corrective action or to terminate rests with the Executive Vice Chancellor.~~ *referral officer as listed in Appendix A.*

**III. Policy**

Non-Senate academic appointees are expected to conduct themselves in a manner consistent with the rules, regulations and policies of the University and to perform their assigned responsibilities.

**A. Definition**

1. Corrective action is a written warning, written censure, suspension without pay, or demotion for good cause, including but not limited to misconduct, unsatisfactory work performance, or dereliction of academic duty.
  - (a) Written warning is a communication that informs the appointee of the nature of the misconduct or deficiency, the method of correction, and the probable consequence of continued misconduct or deficiency.
  - (b) Written censure is a formal reprimand that conveys institutional rebuke.
  - (c) Suspension is debarment without pay from appointment responsibilities for a stated period of time.
  - (d) Demotion is reduction in rank, step, and/or salary.
2. Dismissal is the termination of employment initiated by the University prior to the ending date of appointment for good cause, including but not limited to serious misconduct, continued unsatisfactory work performance, or serious dereliction of academic duty.

**B. Application of Corrective Action and Dismissal Actions**

1. Prior to instituting corrective action (other than written warning) and dismissal, efforts to resolve the problem informally should have been attempted *by the referral officer.*
2. Investigatory Leave

An appointee may be placed on immediate investigatory leave with pay, without prior written notice, for the purpose of reviewing or investigating charges of misconduct or dereliction of duty, which, in the judgment of the Chancellor, ~~Executive Vice Chancellor,~~ or ~~designee~~ *Associate Vice*

*Chancellor for Academic Personnel*, require removing the appointee from University premises. Such investigatory leave must be *approved by the Associate Vice Chancellor for Academic Personnel and* confirmed in writing after it is instituted.

3. Written Notice of Intent

The *University referral officer, after consultation with Academic Personnel*, shall provide a written Notice of Intent to the appointee prior to initiating the actions of written censure, suspension without pay, demotion, or dismissal. The Notice shall state: (1) the intended action, including reasons for the action and the proposed effective date; (2) the basis of the charges, including copies of pertinent materials supporting the charge; (3) the appointee's right to respond either orally or in writing within fourteen (14) calendar days of the date of issuance of the written Notice of Intent; and (4) the person to whom the appointee should respond. No Notice of Intent is required for a written warning.

4. Response to Written Notice of Intent

The appointee who receives a written Notice of Intent shall be entitled to respond, either orally or in writing, within fourteen (14) calendar days of the date of issuance of the written Notice of Intent. The response, if any, *normally* shall be reviewed at a *higher administrative level than the administrator proposing to institute the corrective action or dismissal by the adjudicating officer as listed in Appendix A.*

5. *Review of Proposed Corrective Action or Dismissal*

a. *Review shall normally be addressed by the appropriate referral officer to the appropriate adjudicating officer.*

i. *The adjudicating officer shall appoint a three-member committee of University employees, one of whom shall be the Director of Equal Opportunity, and the remaining two shall be employees in the same or similar title and status as the affected individual. This committee shall investigate and advise the adjudicating officer of the appropriateness of the proposed action.*

ii. *After timely receipt of the committee's recommendation on the proposed action, the adjudicating officer shall advise the Chancellor, Dean, Dean of the Graduate Division (in cases involving student titles), the referral officer, and the individual's supervisor, if other than the referral officer, of any action to be taken.*

iii. *The individual shall have the right to grieve this action under APM 140 and Red Binder IX-25.*

~~5.6.~~ Written Notice of Action

In the event the *University adjudicating officer makes a determination determines* to institute the corrective action or dismissal following the review of a timely response, if any, from the appointee, and within thirty (30) calendar days of the date of issuance of the written Notice of Intent, the *University referral officer* shall issue a written Notice of Action to the appointee of the corrective action or dismissal to be taken, giving the effective date. The Notice of Action also shall notify the appointee of the right to grieve the action under Section 140 of the Academic Personnel Manual. The Notice of Action may not include an action more severe than that described in the Notice of Intent.

~~6.7.~~ Representation

An appointee may be self-represented or may be represented by another person at any stage of the corrective action or dismissal process.

~~7. Review of Proposed Corrective Action or Dismissal~~

a. Review shall normally be addressed by the appropriate referral officer to the appropriate adjudicating officer (see Appendix A for designation of referral and adjudicating officers).

i. The adjudicating officer shall appoint a three member committee of University employees, one of whom shall be the Director of Equal Opportunity, and the remaining two shall be employees in the same or similar title and status as the affected individual. This committee shall investigate and advise the adjudicating officer of the appropriateness of the proposed action.

ii. After timely receipt of the committee's recommendation on the proposed action, the adjudicating officer shall advise the Chancellor, Dean, Dean of the Graduate Division (in cases involving student titles), the referral officer, and the individual's supervisor, if other than the referral officer, of any action to be taken.

When the sanction to be imposed involves dismissal, the adjudicating officer is required to give notice of no less than 30 days from the date of the written Notice of Intent.

iii. The individual shall have the right to appeal this action under APM 140.

8. Extension of Time

Prior to expiration of any time limit stated in this policy, extensions may be granted by the Chancellor, Executive Vice Chancellor, or appropriate designee.



**APPENDIX A**

TITLE, SERIES OR CLASS OF INDIVIDUAL CHARGED	REFERRAL OFFICER	ADJUDICATING OFFICER
Professional Research Specialist Project Scientist	Department Chair or Director	Associate Vice Chancellor Academic Personnel
Librarians	Head of Unit	University Librarian
Assistant or Associate University Librarian	University Librarian	Executive Vice Chancellor
University Extension Personnel	Director of Division	Associate Vice Chancellor Academic Programs
Academic Coordinator	Department Chair or Director	Associate Vice Chancellor Academic Personnel
Graduate Student Researcher	Department Chair or Director	Associate Vice Chancellor Academic Personnel