

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.

New courtesy (contingent worker) titles of Research Associate and Research Fellow are now available for campus use. In support of this change, two additional resources are now available:

- The [Contingent Worker Appointment Form](#) is will be used for appointments as Research Associate/Fellow as well as Without Salary Visitors (Visiting Scholar, Visitor-Graduate Student, and Visitor-Undergraduate). The form is available on the academic personnel website forms page
- A [Courtesy and Without Salary Appointment matrix](#) is available to assist departments in determining the appropriate type of appointment for individuals who will be associated with UCSB on an unpaid basis. The matrix is available on the Resources for Department Analysts page of the academic personnel website.

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-30** Inclusion of Lecturer SOE series actions under Dean Authority and Extended review descriptions.
- III-12** New “affiliated status” option for appointees in the Research series. Clarification that appointments in the series should normally be paid, other than PIs temporarily not funding their own salary.
- III-14** Clarification that appointments in the Project Scientist series should normally be paid, other than PIs temporarily not funding their own salary.
- III-16** Clarification that appointments in the Specialist series should normally be paid.
- III-20** New without salary research titles of Research Associate and Research Fellow
- III-23, III-25** Clarification that Visiting appointments in the Research or Project Scientist series should normally be paid.
- VI-17** Correction of codes used for University Extension payments.

I-30
DEAN'S AUTHORITY MERIT REVIEWS
(Revised ~~5/16~~1/18)

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

Assistant Professor Series:

Advances from Step II to III, and III to IV

Associate Professor Series:

Advances from Step I to II and II to III

Professor Series:

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

Lecturer PSOE, SOE and Sr. Lecturer SOE:
Advancements of two increments

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

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

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

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

EXPANDED REVIEWS

(Revised ~~5/17~~/18)

The following actions for advancement in the Professorial or Lecturer SOE series require expanded review beyond the Dean:

Formal Appraisal

Terminal Appointments

Promotion to Associate Professor *or Lecturer SOE*

Promotion to Professor *or Sr. Lecturer SOE*

Merit to a special step

Merit to Professor Step VI

Merit to or within Professor Above Scale *or Sr. Lecturer SOE Above Scale*

All accelerated actions (including an increase in the off-scale supplement)

Reduction in off-scale supplement

All Expanded Review cases will be subject to review by the Committee on Academic Personnel. The Chancellor will have final approval authority for all promotions, advancement to Professor VI and advancement to or within Above Scale. The Associate Vice Chancellor for Academic Personnel will have final approval authority for all other Expanded Review cases.

Senate members serving on the Committee on Academic Personnel will have Expanded Review actions reviewed by a shadow CAP instead of the current membership of CAP.

III-12
PROFESSIONAL RESEARCH SERIES
(Revised ~~11/15~~ 1/18)

I. Definition

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

II. Ranks and Steps

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

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

III. Appointment and Advancement Criteria

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

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

An individual who currently holds a Research series appointment at UCSB and participates in research 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 host department or program will be required to provide a statement of activities to be carried out under the affiliated status. The affiliated status may be for a specific time period or may be indefinite, as long as the primary paid appointment is active.*
- b. *The chair/director of both the home and host department must endorse the request.*
- c. *Affiliated status appointments are not entered into the payroll system, but will be tracked in AP Folio.*

IV. Term of Appointment

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

V. Compensation

- A. Individuals appointed to this series are compensated on the salary scales established for the Professional Research series on a fiscal year (11 months) basis. The Economics/ Engineering Professional Research salary scale will be used when either:
1. The unit is an Engineering unit (departments and research units reporting to the Dean of Engineering) or the Department of Economics
or:
 2. The unit is multi or interdisciplinary and includes both engineering or economics and other disciplinary activity (for example: CNSI, ICB, MATP). In this case two additional criteria must be met: a) The individual's background and training is in engineering or economics, and b) The project with which the individual is associated is an engineering or economics project.

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

In most cases, a Research series appointment will be a salaried position. Without salary status may be appropriate for short periods of time, for example while awaiting funding. A without salary appointment in this series is not appropriate if the individual holds a primary affiliation with and is funded by another academic institution or outside agency.

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

VI. Requests for Appointment, Reappointment, and Advancement

Appointment

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

Reappointment

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

Advancement: Merit and Promotion

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

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

Deferral will be automatic if a Researcher does not submit material by the departmental due date and no

case is forwarded by the department, with the exception of mandatory reviews.

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

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

Chair/Director Letters of Recommendation

The Chair/Director's letter of recommendation for appointment or advancement should include an evaluation of the candidate's record in all review areas (see III Appointment and Advancement criteria, above). The evaluation is expected to meet the standards set forth in APM 310 which prescribes that candidates for appointment or advancement in the Research series have research qualifications equivalent to those of the corresponding ladder faculty rank. Each unit should establish set procedures for evaluation of Research appointments and advancements and development of the letter of recommendation. While a full review completed by a departmental committee knowledgeable of the candidate's field is preferred, in cases where this is not appropriate, a review done solely by the Chair, Director or P.I. is acceptable. If a committee is not formed, an explanation should be provided in the letter of recommendation. Red Binder I-35 provides additional guidance on developing the letter of recommendation.

Bio-Bibliography

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

External Evaluation

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

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

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

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

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

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

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

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

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

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

VII. Approval Authority

Action

Authority

All actions

Associate Vice Chancellor for Academic Personnel

III-14
PROJECT SCIENTIST SERIES
(Revised ~~5/17~~ 1/18)

I. Definition

The titles in this series are given only to those who make significant and creative contributions to a research or creative project. Appointees may be ongoing members of a research team, or may contribute high-level skills to a specific project for a limited time. Demonstrated capacity for fully independent research or research leadership as required in the Researcher series are not required in this series. However, a broad range of knowledge and competency and a higher level of independence than appointees in the Specialist series are expected. See APM 311 for System Wide policy on Project Scientists. See Red Binder III-23 for procedures for Visiting appointments in this series.

II. Ranks and Steps

- A. Assistant Project Scientist I – V (Step V is considered a “special step”)
- B. Associate Project Scientist I – IV (Step IV is considered a “special step”)
- C. Project Scientist I –IX

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

III. Appointment and Advancement Criteria

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

- A. Demonstrated significant, original, and creative contributions to a research or creative program or project
- B. Professional competence and activity

University and public service are encouraged but not required.

IV. Term of Appointment

- A. Appointments or reappointments may be for up to two years at a time at the Assistant Project Scientist and Associate Project Scientist level and for up to three years at a time at the Project Scientist level if guaranteed funding is available.
- B. There are no limits on service at any level in this series.

V. Compensation

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

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

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

In most cases, a Project Scientist appointment will be a salaried position. Without salary status may be appropriate for short periods of time, for example if the Project Scientist is self-funded as a PI or co-PI. A without salary appointment is not appropriate if the individual holds a primary affiliation with and is funded by another academic institution or outside agency.

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

VI. Requests for Appointment and Advancement

Appointment

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

Reappointment

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

Advancement: Merit and Promotion

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

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

Appointees in the Project Scientist 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 record in all review areas (see III Appointment and Advancement Criteria, above). Each unit should establish set procedures for evaluation of Project Scientist appointments and

advancements and development of the letter of recommendation. While review done solely by the Director or PI is acceptable at the Assistant Project Scientist level, a fuller review, including input from other equal or higher ranking individuals in the unit is preferable for Associate Project Scientist and Project Scientist level actions. Red Binder I-35 provides additional guidance on developing the letter of recommendation.

Bio-Bibliography

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

External Evaluation

External letters of evaluation are normally required in cases of: appointment as Associate Project Scientist, appointment as Project Scientist, promotion to Associate Project Scientist, and promotion to Project Scientist. A minimum of four letters at the Associate level, and six at the Full Project Scientist level should be included. Due to the nature of Project Scientist positions, it is possible that in some cases solicitation of internal letters of evaluation are more helpful. Internal evaluators are defined as external to the employing unit, but internal to UCSB. In these cases, the decision to solicit from internal sources should be clearly discussed in the departmental letter. Reviewing agencies reserve the right to request that additional letters be solicited in any appointment or advancement case if it is determined that more information is necessary to support the proposed action.

When letters are solicited either externally or internally, the sample letter for solicitation of extramural evaluators (Red Binder I-49) is to be used, with the following wording inserted as appropriate:

_____ is being considered for (an appointment/promotion to) Associate Project Scientist/Project Scientist in the (department/unit). Appointment (or Promotion) to Associate Project Scientist/Project Scientist within the UC system requires evaluation in the areas of: 1) Demonstrated significant, original, and creative contributions to a research or creative program or project, 2) Professional competence and activity. [Sample wording for evaluation request: e.g., I would greatly appreciate your evaluation of _____'s work.]

In rare circumstances it may be appropriate to waive the requirement for letters of evaluation. Requests to waive letters must be submitted to the Associate Vice Chancellor for Academic Personnel prior to submission of the appointment or promotion case.

VII. Approval Authority

Action

All actions

Authority

Associate Vice Chancellor for Academic Personnel

III-16
SPECIALIST SERIES
(Revised 5/17/18)

I. Definition

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

II. Ranks and Steps

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

III. Appointment and Advancement Criteria

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

The following qualifications are general guidelines for each rank:

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

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

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

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

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

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

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

IV. Term of Appointment

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

V. Compensation

- A. Individuals appointed to this series are compensated on the salary scales established for the Specialist Series on a fiscal year (11 month) basis.

Without salary appointments in this series will occur rarely and will require evidence of external funding. Individuals who hold a primary affiliation with and are funded by another academic institution or outside agency may more appropriately be appointed as Research Associate or Research Fellow (Red Binder III-20.)

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

VI. Requests for Appointment and Advancement

Appointment

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

Reappointment

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

Advancement: Merit and Promotion

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

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

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

New

III-20

RESEARCH ASSOCIATE AND RESEARCH FELLOW

(1/18)

I. Definition

Research Associates and Research Fellows are non-salaried (without salary) appointments for scholars of distinction and visiting fellows whose main affiliation is elsewhere but who maintain a recognizable research affiliation with UCSB. Research Associates and Research Fellows may serve as co-PI by exception.

II. Appointment Criteria

Appointments may be made as:

Research Associate: Title code 3298

Research Fellow: Title code 3296

Appointees as Research Associate or Research Fellow must possess a Ph.D. or equivalent training in the field. In addition:

- A. Appointees as Research Associate must have established a record of independent research.
- B. Appointees as Research Fellow need not have had experience as an independent researcher aside from the research done for the doctoral degree. Research Fellows will normally be visiting fellows from recognized fellowship programs or from other universities.

III. Terms of Appointment

Appointments and reappointments to these titles are for specified terms, not to exceed three years per appointment. There is no limit on the total length of appointment in the series.

IV. Appointment Procedure

Appointments are processed by submitting the [TBD form], signed Patent Acknowledgement form, and an up to date UCSB Biography form to the Academic Personnel office.

V. Approval authority

All actions Department Chair or Director with post-audit by Academic Personnel

III-23
VISITING (RESEARCHER AND PROJECT SCIENTIST) APPOINTMENTS
(Revised 4/15/18)

I. Definition

The Visiting prefix is used to designate one who:

1. Is appointed temporarily to perform the duties of the title to which the prefix is attached; and
2. Either has held, is on leave from, or is retired from an academic or research position at another educational institution; or whose research, creative activities or professional achievement makes a visiting appointment appropriate.

See APM 230 for System Wide policy on Visiting titles.

II. Appointment Criteria

The Visiting prefix may be used with titles in the Professional Research series or the Project Scientist series. When the title with the Visiting prefix is assigned to an individual on leave or retired from another institution, the title will usually be the same as the individual's title at the home educational institution.

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

III. Term of Appointment

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

If the appointee is later considered for transfer to a corresponding appointment in the regular series, the proposal for such transfer shall be treated as a new appointment subject to full customary review.

IV. Compensation

Appointments *will normally be paid, but* may be made on a ~~paid or~~ without salary basis *in limited circumstances*. For paid appointments the salary for a visiting position is negotiated. While the salary does not have to be on-scale on the corresponding regular series scale, the salary may not be below the minimum rate for the rank. For example, a Visiting Researcher may not be paid below the Researcher Step I rate. Because these salaries are negotiated on an individual basis, they are not subject to range adjustments. For travel expense reimbursement, see APM 230-20h.

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

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

Without salary appointments may be appropriate when an individual is visiting UCSB but is being funded through either their home institution or some other external agency.

V. Appointment process

Requests for appointment in the Visiting Researcher series or Visiting Project Scientist series should be prepared using the [Visiting \(Researcher and Project Scientist\) Appointment Form](#). A UCSB Biography form and a CV must also be submitted.

VI. Restrictions

Neither tenure nor security of employment is acquired, although eligible service as a Visiting Assistant

Researcher will count towards the University's eight-year limit (APM 133).

VII. Approval Authority

Action

Authority

All actions

Associate Vice Chancellor for Academic Personnel

III-25
WITHOUT SALARY VISITORS
(Revised ~~5/17~~/18)

I. Definition

A person on temporary leave from a non-UC academic appointment, other employment, or student enrollment at a non-UC institution or entity may be appointed as a Without Salary Visitor. Appointees to this title participate in short-term educational, research, or other academic projects under the supervision of an academic appointee.

II. Appointment Criteria

A. Appointments may be made as:

Visiting Scholar: Title Code 3299

Visitor (Graduate Student): Title Code 3730

Visitor (Undergraduate): Title Code 3731

B. A Visiting Scholar must possess an appropriate terminal degree or equivalent experience. A visitor (Graduate Student) and Visitor (Undergraduate) must be enrolled in a degree granting program or equivalent at a non-UC institution of higher education. The appointment must serve an academic purpose for the unit in which the individual is appointed.

~~C. Visitors doing work that fits the criteria of another academic title (i.e. Visiting Project Scientist, Visiting Researcher, etc.), should be appointed into that title on a without salary basis.~~

III. Terms of appointment

A. Appointments may be made for up to one year and are self-terminating. Because appointments are intended to be short-term, reappointments should be rare.

B. Service as a Visitor does not constitute employment status or student status at the University. Visitors are bound by all rules and policies of the University of California.

IV. Compensation

A. Appointees in these series are not eligible for compensation via the payroll system.

B. Visitors must be self-supporting, and may be asked to provide evidence, appropriate to the duration of the appointment, of adequate support from external sources.

C. Visitors may be eligible for reimbursement of expenses as outlined in the Business and Finance Bulletin G-28 or for supplementary support in the form of a cost of living allowance.

V. Appointment Procedure

Appointments are processed by submitting a [Visitor appointment letter](#), signed Patent Acknowledgement form, and an up to date UCSB Biography form to the Academic Personnel office.

VI. Approval authority

Action

All Actions

Authority

Department Chair or Director with post-audit by Academic Personnel

VI-17
OTHER ADDITIONAL COMPENSATION
(Revised ~~5/17~~1/18)

I. Summer Session teaching

Reference: APM 661-14

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

Summer Session payments are always calculated based on the 6/30 pay rate rather than the 7/1 pay rate. The DOS code **SSC** is used for individuals who are eligible for UC retirement contributions on Summer Session earnings. Days used for summer session payments may overlap days used for other types of summer compensation; however, the 3/9ths maximum may not be exceeded.

The DOS code **SST** is used for individuals who are not eligible for UC retirement contributions on Summer Session earnings. This is not considered additional compensation.

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

II. University Extension

Reference: APM 662, appendix B-2

Faculty may teach courses through University Extension. These payments count towards the 3/9ths maximum that may be earned during the summer if the teaching takes place during the summer months. If a faculty member is earning 3/9ths from other sources during the summer, they may in addition earn compensation from University Extension equal to one day a week during the period in which additional compensation may be paid. During the academic year, payments are subject to the University limits relating to outside professional activities (Red Binder I-29). The DOS code **UNX ACX** is used for current University faculty *employed at 100% time* who are teaching as additional compensation.

The DOS code **ACX UNX** is used for individuals who only teach through Extension *or who are employed at less than 100% time*. This is not considered additional compensation.

III. Faculty consultant services

Reference: APM 664

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

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

IV. University awards

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

V. Department Chair and Director stipends

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

VI. Start-up and retention research support

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

VII. Dean's summer research compensation

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

VIII. Honoraria

Academic employees may receive honoraria for work related to University-sponsored conferences and panels, or creative work unrelated to the primary job responsibilities. Honoraria may not be paid using State funds. When work of this type is performed at a different UC campus, the payment is processed via an intercampus payment (see Red Binder VI0-15). When the work is performed at UCSB, it may be paid through the payroll system as an honoraria, using the DOS code of **HON**. One-time honoraria payments are allowable up to \$1,500 per event, and up to \$3,000 by exception, requiring the approval of the Associate Vice Chancellor for Academic Personnel.

VIII. Other Summer Additional Compensation

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

Curtesy and Without Salary Academic Titles

Title/series	Red Binder reference	use	requirements/criteria	terms and reviews	PPS/UCPath status
Research Associate/Fellow (new)	III-20	Courtesy title for individuals with (1) main affiliation at another institution but ongoing association with UCSB or (2) establishing a relationship with UCSB but not yet funded. By exception may be co-PI	Ph.D or equivalent. Research Associate: independent research. Research Fellow: "fellow from another university or with fellowship, does not need independent research.	no review. 2 or 3 year terms, renewable	In PPS. Contingent worker in UCPath
Visiting Scholar	III-25	Temporary visitor, usually 1 year or less	Main affiliation elsewhere with intent to return. RB III-25	no review. Reappointment beyond one year should be rare	In PPS. Contingent worker in UCPath
Research series wos	III-12	Main affiliation is UCSB but no current salary support. If no work being done, short work break may be more appropriate in UCPath	Should be with intent of securing funding. RB III-12. UCSB must be primary employer	Research series applies	In PPS/UCPath as employee
Proj Sci/Specialist wos	III-14, III-16	(1) Main affiliation is UCSB, but funding is from an external source, or part of a joint program with some other institution or (2) co-PI but no current salary support.	Must document external funding. RB III-14 and III-16. UCSB must be primary employer	Proj Sci/Specials series applies	In PPS/UCPath as employee
Visiting Researcher or Visiting Project Scientist wos	III-23	Short term (up to 2 years) visitor fitting criteria and being supported by their home institution (i.e. sabbatical) or an external agency.	Has held, is on leave from, or is retired from an academic or research position at another educational institution	no review, two year consecutive appointment max.	In PPS/UCPath as employee
Educator WOS	II-33	Holds a paid appointment at UCSB in a non-teaching series; teaching directly related to the non-teaching title, and would suffer a loss in pay. Or true volunteer teaching.	RB II-33	normally short term; one or two quarters.	In PPS/UCPath as employee
Adjunct wos	V-17	Main affiliation is external, identifiable teaching and research affiliation with UCSB. Occasionally used with other paid UCSB employment in non-teaching title if the teaching responsibilities fit Adj. series rather than Educator wos	RB V-17 and II-33. Should indicate why Research Associate/Fellow, or Educator WOS not appropriate.	no review. 2 or 3 year terms, renewable	In PPS/UCPath as employee
Affiliated Researcher status (new)	III-12	Holds a paid appointment at UCSB as a Researcher and has identifiable association with another unit on campus on a wos basis	Holds the same title on campus. Meets criteria of Research series.	no review, no limit	not in PPS or UCPath. Track in APFolio
Affiliated status (IDM)	n/a	appropriate to have campus access (UCSBnetID etc) but relationship with the University does not rise to the level of other wos series	via identity management	no review, no limit	Not in PPS, UCPath or AP Folio.
Volunteer (not an academic title)	n/a	Individual who is volunteering their assistance or services to the University and receives no compensation.	Can not perform the same work as paid employees. See HR guidelines for restrictions.		Not in PPS, UCPath or AP Folio.