

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

From: Cindy Doherty, Director  
Academic Personnel

Re: Red Binder and other Academic Personnel resource updates

A number of revisions to the Red Binder (UCSB campus academic personnel policies and procedures) have been posted at the Academic Personnel web site. A summary of all changes is included below for your convenience. Changes reflect the following:

- The campus transition from PPS to UCPATH
- Updates to reflect system-wide policy changes
- Clarification of existing Red Binder language

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/>

In preparation for UCPATH campus implementation, all appointment forms and upload screens have been updated to include position establishment and use information. When a new appointment request is submitted, departments will be required to indicate if a new position needs to be created or if an existing position will be used in support of the appointment.

In addition, the UCSB Biography form has been updated and the Dohrmann Loan application form is now available. All revised and new forms are available on the Academic Personnel website under the *Forms* tab.

### **Summary of Changes**

- |   |  |
|---|--|
| I-17, II-31, VI-9,<br>I-70, VI-14, VI-17,<br>VI-22, VI-26, VIII-9 | PPS to UCPATH terminology changes  |
| I-29  | Clarification of faculty who are subject to APM-025 and criteria regarding involvement of students in outside professional activities. |
| I-31, I-75  | Alternate evaluation method for small classes.   |
| I-35  | Guidance regarding external letters of evaluation. Alternate evaluation method for small classes.                                      |
| I-48  | Guidance regarding external letters of evaluation.   |

II-1, III-1, IV-1 VI-18	Short Work Break policy.
II-10	Additional proof of teaching performance. Clarification of approval authority for promotions to Sr. Lecturer.
II-14, III-9	Clarification of letter writers recommended by both the department and candidate.
II-28, III-23	Removal of reference to current salary as a consideration of proposed salary for new hires.
II-33	Adding process for approval of without salary teaching appointments.
III-7	Reference to Red Binder sections outlining requirements for external letters.
III-17	Process for Postdoctoral Scholar offers of employment extended prior to conferral of Ph.D.
III-20	Additional circumstance in which Research Associate title may occasionally be used.
V-20	Appointment process for Professor of Practice. Clarification of status as a working title.
VI-5	Change in maximum ASMD available.
VI-15, VI-17	Increase in honoraria maximum allowed with campus approval. PPS to UCPath terminology changes.
VI-19, VI-21	Delete sections. Relevant language incorporated into VI-9.
VI-23	Reinstatement of Dohrmann Loan program for Senate faculty.
VII-4, VII-5	Reflects standards for reimbursement of recruitment related expenses.
VIII-11	Campus minimum for establishment of an Endowed Chair set at \$1,000,000.

**NEW SENATE FACULTY COMMITMENTS**

(Revised 5/16)

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

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

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

**Housing**

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

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

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

**Faculty Recruitment allowance**

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

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

Faculty recruitment allowances are considered wages for Federal and State tax reporting and withholding and for Social Security taxes, workers' compensation, and unemployment insurance. Payment of the faculty recruitment allowance is made through *UCPath as one-time additional pay. PPS, using Title Code 3993 and the dos code FHA and the prq code of EA.* Request for payment of the faculty recruitment allowance should be made at least 30 days in advance of the date the money is needed.

**CONFLICT OF COMMITMENT AND OUTSIDE PROFESSIONAL ACTIVITIES**

(Revised 5/17)

**General information**

APM 025 provides specific guidelines concerning potential conflicts of commitment that may arise when faculty participate in outside professional activity, both compensated and uncompensated. While there is great value in activities outside the University that advance and communicate knowledge, it is important that these activities not conflict with the faculty member's primary responsibility to the University.

Faculty members holding the following titles **at 50% time or more** are subject to APM 025: **and are required to submit an annual report:**

- Assistant Professor, Associate Professor, Professor
- The above titles when used with an Acting or Adjunct pre-fix
- Lecturer PSOE, Lecturer SOE, Senior Lecturer SOE

In addition, administrative officers who hold appointments in any of the above titles are subject to APM-025, regardless of the current percent of time in the academic appointment.

A full-time faculty member on a nine-month appointment may not engage in outside professional activity for more than 39 days during the academic year. The 39-day limitation does not apply during periods of leave without pay, however prior approval of category I activity and reporting of category I and II activity is still required. Faculty receiving compensation from the University during the summer period (i.e. Summer Session teaching or research compensation) may engage in a maximum of one day per week of outside professional activity.

**Categories Of Outside Professional Activity**

Three categories of outside activity have been defined, in terms of the extent to which they may raise a conflict of commitment. See APM-025 for a complete explanation of activity

Category I activities are likely on their face to raise issues of conflict of commitment. Such activities are **not allowed without prior approval** from the Chancellor or designee, and when approved are subject to the 39-day limit, and must be reported on an annual basis. Prior approval is required even if the activity will take place during a period of leave without pay. Category I activities include:

- Assuming an executive or managerial position in a for-profit or not-for-profit business.
- Assuming a founding or a co-founding role of a company.
- Administering a grant outside the University that would ordinarily be conducted under the auspices of the University.
- Establishing a relationship as an employee outside the University, including teaching or research at another institution.
- Other professional activity that common sense and good judgment would indicate are likely to raise issues of conflict of commitment.

Category II activities are unlikely to raise issues of conflict of commitment. They are allowed without prior approval up to the 39-day limit and must be reported on an annual basis. Such activities include:

- Teaching for University Extension
- Testifying as an expert in administrative, legislative, or judicial hearings;
- Providing consulting services or engaging in professional practice as an individual, single- member professional corporation or sole proprietorship.
- Serving on the board of directors of an outside entity

- Providing workshops for industry
- Other outside professional activity not mentioned in Category I or III that common sense and good judgment indicate are not likely to raise issues of conflict of commitment.

Category III activities are accepted as part of a faculty member's scholarly and creative work. Even if compensated they are allowed, and do not count towards the 39-day limit. Category III activities include:

- Serving on a committee, panel, or commission established by a governmental agency;
- Acting as a reviewer or editor for journal or book manuscripts.
- Serving as a committee member or an officer of a professional or scholarly society, or providing professional services to such societies.
- Participating in or accepting a commission for an artistic performance or event not sponsored by the University.
- Presenting an invited lecture or paper at a meeting.
- Developing scholarly communications, even when such activities result in financial gain.
- Accepting honoraria (other than those received for Category II activities) and prizes.

### **Prior approval requirements**

Request for approval to: (1) engage in Category I activities, or (2) involve a graduate student in outside professional activity must be submitted to the Department Chair by **June 30** for the upcoming academic year. Prior approval requests are submitted using the Prior Approval For Outside Activities form, (APM-025, appendix B). The request form is accessed by signing on to AP Folio, selecting the Outside Professional Activities link, and then the Prior Approval tab. The Department Chair will review the request within the context of departmental teaching demands, sabbatical leaves, other leaves, etc., and endorse or deny each request. The request will then be forwarded to the appropriate Dean for approval. If the faculty member, Department Chair and Dean agree, the Dean's decision will be final. In cases of disagreement, the Dean will consult with the Associate Vice Chancellor for Academic Personnel to reach a decision.

### **Category I exceptions**

Exceptions to engage in teaching (with the exception of occasional lectures) or research at another institution **as a salaried employee** while employed as a full time faculty member **at UCSB** are not permitted without prior approval of the Executive Vice Chancellor. This restriction applies both during periods of paid service and periods of leave without pay.

### **Graduate Student involvement**

Before involving a student **for whom the faculty member has, or expects to have, academic responsibility** in an outside professional activity **in which a faculty member has a financial interest**, the faculty member must obtain prior written approval as described above. Involvement means any substantive activity, whether paid or unpaid. The campus [Policy on Conflict of Interest in Graduate Education](#) provides guidelines for such activity.

### **Reporting requirements**

All activity that is subject to the 39-day limit as described above must be reported on an annual basis. The annual report period is from July 1st to June 30th of each year. The Report of Category I and II Outside Professional Activities form (APM-025, appendix C) is to be used for reporting purposes. This report must be completed annually by each faculty member by September 15 of the calendar year. Faculty are to sign on to AP Folio and use the Outside Activities Reporting link, My APM-025 tab to complete the report. The Chair must review and approve each report. The Dean will review and approve the report of the Chair. The reports are considered to be non-confidential in nature and are subject to public inspection.

**DOCUMENTS TO BE SUBMITTED BY THE CHAIR**  
**DEAN'S AUTHORITY MERITS**

(Revised 4/15)

All personnel review cases are submitted via AP Folio

**I. Departmental Letter**

The Chair should provide a **concise** description of the most significant developments since the last review in each of the review areas. Any criticisms or reservations should also be noted. The letter should be brief; normally one to two pages long. See Red Binder I-75 for further discussion of evaluation of four areas of review **and Red Binder I-35 for details regarding the content of the departmental letter.**

- Is the letter an accurate, concise and **analytical** representation of the case?
- Is the **actual final departmental** vote included (e.g. 10(yes)-0(no)-0(abstentions)-3(not voting))? Is there an indication of how many were eligible to vote?
- Are all four areas of review covered: teaching, research, professional activity and university and public service?
- Are contributions to diversity and equal opportunity given **appropriate** recognition?
- Is all relevant information from the Departmental letter accurately entered on the case up-load screen?

**II. Chair's Separate Confidential Letter**

See Red Binder I-35 for further information.

- Is the letter clearly marked "Chair's Separate Confidential"?

**III. Safeguard Statement.**

The candidate must sign an on-line safeguard for each departmental recommendation. If it is difficult or impossible to obtain the required signature, the Chairperson should explain the situation and indicate in what manner he/she has attempted to meet the requirements outlined in the form.

- Has the candidate signed the safeguard statements? The case may not be forwarded until the candidate has signed.
- If there are no confidential documents (e.g. external letters, minority opinion letter) the appropriate box under #6 should be checked.
- Are copies of everything the candidate has provided, or been provided, included with the case?

**IV. Bio-bibliographical Update**

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

**V. Evaluation of the teaching record**

At a minimum, two sources must be included in the case. ESCI summary sheets and scores for questions A and B are mandatory

- If the B&P printout is used, is it noted which classes have ESCI's?
- If small courses do not have ESCIs is an explanation provided in the departmental letter and an alternate form of teaching evaluation included?**
- Does the file accurately indicate which course evaluations were done via hard-copy and which were done on-line?
- Has the second source of teaching been clearly identified on the coversheet?
- If a self-assessment of teaching was submitted, is it included with the case?

**VI. Self-assessment of other accomplishments and activity (optional).**

- If a self-assessment of activity and accomplishments other than teaching (V. above) was submitted, is it included in the case? Self-statements may address research, professional activity, service, or

contributions to diversity and equal opportunity.

VII. **Sabbatical leave reports.**

- If any sabbatical leaves were taken during the review period are copies of the reports included with the case?

VIII. **Outside Activity Reports (APM 025 Appendix C)**

- Has a report been completed for each academic year within the current review period included?  
 Is the form approved by the Department Chair(s)?

IX. **Copies of publications.**

It is the responsibility of each faculty member to maintain copies of published research or other creative work and reviews. One set of publications for the review period should be forwarded with the case. Publications submitted with the case, along with teaching evaluations and other single copy items, will be returned to the department upon completion of the review.

- Have all items included in Part I of the bio-bib for the current review period been submitted, including In Press and Submitted items?  
 *Has appropriate evidence been provided for In Press items?*  
 Do all of the titles on the actual publications match those listed on the bio-bib?  
 If publications are being included via a link in the bio-bib, has the link been verified?  
 If any publications are missing from the file, is a note included noting which are missing and explaining why?

**DOCUMENTS TO BE SUBMITTED BY THE CHAIR**  
**EXPANDED REVIEW CASES**

(Revised 4/15)

*All personnel review cases are submitted via AP Folio*

**I. Departmental letter of recommendation**

Accurate and analytical letters of recommendation from the department are essential in the review process. *See Red Binder I-75 for further discussion of evaluation of four areas of review and See Red Binder I-35 for further detail of content of departmental recommendations*

- Is the letter an accurate, extensive, and **analytical** representation of the case?
- Is the ~~actual~~ **final departmental** 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 there is a recommendation for an acceleration, are the reasons for the acceleration specifically stated?
- In the case of a negative or mixed departmental recommendation, is the basis of the recommendation clearly documented?
- If the case contains extramural letters, are letter writers identified **only** by coded list, with no identifying statements?
- If the case is for a career review, does the letter provide an overview of the career accomplishments as well as analysis of the achievements within the most recent review period?
- Are all four areas of review covered: teaching, research, professional activity and university and public service?
- Are contributions to diversity and equal opportunity given **appropriate** recognition?
- Is all relevant information from the Departmental letter accurately entered on the case up-load screen?

**II. Chair's Separate Confidential Letter**

See Red Binder I-35 for further information.

- Is the letter clearly marked "Chair's Separate Confidential"?

**III. Safeguard Statement.**

The candidate must sign an on-line safeguard for each departmental recommendation. If it is difficult or impossible to obtain the required signature, the Chairperson should explain the situation and indicate in what manner he/she has attempted to meet the requirements outlined in the form.

- Has the candidate signed the safeguard statements? The case may not be forwarded until the candidate has signed.
- If there are no confidential documents (e.g. external letters, minority opinion report) the appropriate box under #6 should be checked.
- Are copies of everything the candidate has provided, or been provided, included with the case (e.g. redacted letters, list of potential evaluators)?

**IV. Bio-bibliographical Update**

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

**V. Extramural letters of evaluation** and list of evaluators in cases where extramural letters are required; promotion, merit to Professor Step VI, merit to Professor Above Scale. (Red Binder I-49)

**Extramural Letters**

- Are there at least 6 letters, including letters from UC or UC familiar referees?
- Are at least half of the letters from references chosen by the Chair/Dept independent of the candidate?



- Have all letters been coded? Are the codes also on the redacted versions?
- If the letters were sent via email, is a copy of the email and any attachment included?
- If redacted copies of the letters were provided to the candidate, is a copy included (one copy only), and did he/she check box 7A on the Procedural Safeguards Statement?
- Are any anomalies in the composition of reviewers (e.g. less than six letters, letter writer who wrote in previous review, etc.) explained?*

**Sample Solicitation Letter(s) and/or Thank you letter(s) for unsolicited letters**

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

**List of Referees, including brief Biography and indicating who selected referees**

- Do the codes on the letters match the codes on the list and the codes used in the departmental letter?
- Does the list clearly indicate if the referees were candidate, *or* department *suggested* *or independently suggested by both?* *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?

**VI. Evaluation of the teaching record.**

At a minimum, two sources must be included in the case. ESCI summary sheets and scores for questions A and B are mandatory

- If the B&P printout is used, is it noted which classes have ESCI's?
- If small courses do not have ESCIs is an explanation provided in the departmental letter and an alternate form of teaching evaluation included?*
- Does the file accurately indicate which course evaluations were done via hard-copy and which were done on-line?
- Has the second source of teaching been clearly identified on the coversheet?
- If a self-assessment of teaching was submitted, is it included with the case?

**VII. Self-assessment of other accomplishments and activity (optional).**

- If a self-assessment of activity and accomplishments other than teaching (VI. above) was submitted, is it included in the case? Self-statements may address research, professional activity, service, or contributions to diversity and equal opportunity.

**VIII. Sabbatical leave reports.**

- If any sabbatical leaves were taken during the review period are copies of the reports included with the case?

**IX. Outside Activity Reports (APM 025 Appendix C)**

- Has a report been completed for each academic year within the current review period included?
- Is the form approved by the Department Chair(s)?

**X. Copies of publications.**

It is the responsibility of each faculty member to maintain copies of published research or other creative work and reviews. One set of publications for the review period should be forwarded with the case. Publications submitted with the case, along with teaching evaluations and other single copy items, will be returned to the department upon completion of the review.

- Have all items included in Part I of the bio-bib for the current review period been submitted, including In Press and Submitted items?
- Has appropriate evidence been provided for In Press items?*
- Do all of the titles on the actual publications match those listed on the bio-bib?
- For tenure cases, have you included all publications?
- If publications are being included via a link in the bio-bib, has the link been verified?
- If any publications are missing from the file, is a note included noting which are missing and explaining why?
- For other career reviews (promotion to Professor, to Step VI, to Above Scale), are all publications since last review, and all or a representative sample of publications from the prior record included?

**SAMPLE LIST OF EXTRAMURAL REFEREES**

(Revised 05/14)

SUGGESTED BY DEPARTMENT

- A. Dr. David Rodriguez -- Professor of Psychology at Stanford University, Dr. Rodriguez has been recognized as the leading authority on bilingual language acquisition among children for the past twenty years and is a member of the National Academy of Sciences..
- B. Dr. Jane Williams -- Currently Clinical Director for the Center for the Study of Linguistic Development in Cambridge, MA. Dr. Williams has written the authoritative text on linguistic development and now heads the most extensive longitudinal study of bilingual children in the nation.
- C. etc.
- D. etc.

SUGGESTED BY CANDIDATE

For appointment cases, indicate if letters were submitted via UCRecruit

- E. Dr. Keo Carey -- Chair of the Psychology Department at Penn State. Dr. Carey was Maria Smith's Ph.D. advisor.
- F. etc.
- G. etc.

***INDEPENDENTLY SUGGESTED BY BOTH THE CANDIDATE AND DEPARTMENT.***

H.

UNSOLICITED COMMENTS

- I. etc.
- J. etc.

DID NOT RESPOND

Joe Smith, Harvard University  
Anne Brown, UC Berkeley

DECLINED TO WRITE

Mary Johnson, UCLA **already overcommitted**

CANDIDATE REQUEST TO NOT CONTACT

I-70  
**PROCEDURE FOR RECALL OF SENATE FACULTY**  
(Revised 11/16)

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

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

**I. Teaching appointments**

The appropriate annual salary for the recall appointment is the annual rate at the time of retirement, range adjusted forward. A retired Senate Faculty member may be recalled to teach one quarter or more. If recalled for only one quarter, the appointment should be on a 9/9 basis. If the appointment is for one full year it may be made on a 9/12 basis. Appointments will be entered into **PPSUCPath** using the Recall Teaching title.

**II. Research appointments**

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

**III. Administrative appointments**

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

**IV. Approval authority**

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

## APPOINTMENT AND ADVANCEMENT

**A publication of the  
Committee on Academic Personnel  
prepared in consultation with the  
Associate Vice Chancellor for Academic Personnel  
(Revised 11/15)**

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

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

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

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

### REGULAR RANKS, STEPS, NORMAL PERIODS OF SERVICE

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

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

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

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

#### Off-scale salary supplements

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

## II. MATERIALS REQUIRED FOR PERSONNEL ACTIONS

Each time a recommendation for a personnel action is initiated, a **dossier** or **file** containing materials relevant to that

recommendation is prepared by the Department Chair. The complete dossier includes the following:

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

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

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

### III. THE REVIEW PROCESS

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

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

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

#### Details of the review process

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

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

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

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

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

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

#### IV. SOME PROCEDURAL MATTERS

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

Chairs should take special care to prepare the case thoroughly and properly. Significant delays result from improper or inadequate preparation of cases at the departmental level. When a reviewing agency requests additional information, a deadline for submission of those materials will be included in the request. If the materials are not received by the stated deadline the case will proceed through the review process without the materials. Failure to submit requested materials may have an effect on the outcome of the review.

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

to arrive at preliminary assessments of the prospects of candidates for eventual promotion to tenure rank as well as to identify appointees whose records of performance and achievement are below the level of excellence desired for continued membership in the faculty. (Section 220-83.)

This appraisal is normally made during the fourth year of the Assistant Professor's career at the University. When an assistant professor has been appointed at a high step, the department may recommend tenure



without a preliminary appraisal, if the record merits it.

The departmental letter concerning an appraisal should contain:

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

The appraisal recommendation may be integrated into the letter concerning the merit increase provided that the fact that an appraisal has been made is clearly stated.

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

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

## V. CRITERIA

The criteria for promotion and advancement are:

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

Superior intellectual attainment, as evidenced both in teaching and in research or other creative achievements, is an indispensable qualification for appointment or promotion to tenure positions. Insistence upon this standard is necessary for maintenance of the quality of the University as an institution dedicated to the discovery and transmission of knowledge. Teaching, research, professional and public service contributions that promote diversity and equal opportunity are to be given due recognition in the evaluation of the candidate's qualifications. An individual may not be arbitrarily disadvantaged if he or she elected to take a childbearing or parental leave, to stop the clock, or to defer a personnel review.

### 1. Evidence of Research and Creative Work:

Research and creative accomplishments should be evaluated in the context of the faculty member's overall record of

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

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

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

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

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

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

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

## 2. Evidence of Teaching

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

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

In judging the effectiveness of a candidate's teaching, the following should be considered: the candidate's command of the subject; continuous growth in the subject field; ability to organize material and to present it with force and logic; capacity to awaken in students an awareness of the relationship of the subject to other fields of knowledge; fostering of student independence and capability to reason; spirit and enthusiasm which vitalize the candidate's learning and teaching; ability to arouse curiosity in beginning students, to encourage high standards, and

to stimulate advanced students to creative work; personal attributes as they affect teaching and students; extent and skill of the candidate's participation in the general guidance, outreach and mentoring, and advising of students; effectiveness in creating an academic environment that is open and encouraging to all students. Attention should also be paid to the variety of demands placed on instructors by the types of teaching called for in various disciplines and at various levels, with proper reference to assigned teaching responsibilities. (APM 210.1.d(1)).

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

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

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

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

- b. Evaluative information assessing the teaching record of the individual during the review period must be presented. In order for the numerical scores on the student evaluation forms to not assume disproportionate weight, departments are urged to include as many other criteria as appropriate.
  - i. *Student respondents*: Systematic surveys of student opinions are essential for all classes taught by the candidate. These evaluations must be part of the record. The departmental letter must compare the candidate's scores with departmental scores for comparable classes. *It is understood that it may not be appropriate to conduct student evaluations in very small classes. In cases where evaluations are not available for the majority of classes due to small class size, the departmental letter must indicate the reason surveys were not conducted and an additional, alternate source of teaching evaluation (other than the overall departmental assessment) must be included in the case.*

Departments may include whatever questions they like, except that:

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

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

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

- ii. *Departments must also provide other items they judge appropriate for determining the*

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

*effectiveness of teaching.* APM 210-1 specifies that for promotion to Associate Professor and Professor comments from other faculty members on the candidate's teaching are required.

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

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

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

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

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

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

### 3. Professional Competence and Activity:

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

### 4. University and Public Service:

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

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

## **VI. CONFIDENTIALITY AND PERSONNEL SAFEGUARDS**

Our system of review depends upon impartial professional judgment, and confidentiality has always been essential to the effective functioning of the system. One reason for confidentiality is that it protects impartial judgments from pressures of other interested parties. At UC, confidentiality applies to the votes and analyses of individual department members; to the authorship of extramural letters of evaluation; and to the membership of ad hoc review committees.

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

## **VII. DEPARTMENTAL VOTING ON PERSONNEL CASES**

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

## **VIII. DIVERSITY SELF-ASSESSMENT**

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

II-1  
**UNIT 18, Non-Senate Faculty**  
**Lecturer and Supervisor of Teacher Education Series**  
(Revised 5/16)

**I. Definition**

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

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

**II. Ranks and Steps**

Lecturer and Senior Lecturer:

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

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

Supervisor of Teacher Education:

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

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

**III. Appointment Criteria**

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

**IV. Term of Appointment**

- A. During the first six years of service, appointments and reappointments to these titles are normally made for terms of one year or less. A year of service is defined as 3 quarters of qualifying Unit 18 service. Qualifying service is service in any Unit 18 title at any positive percentage of time in the same department. Without salary appointments and Summer Session appointments do not count as Unit 18 quarters of service. Requests for one-time credit of service as defined by Article 7A.B.1 must be endorsed by the Department Chair and Dean and required approval by the Associate Vice Chancellor for Academic Personnel.

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

The employee must also be informed in writing of specific terms and conditions of the position as outlined in Article 7A C.3. This information will normally be included in the offer letter.

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

## V. Compensation

- A. The source that provides compensation for service under these titles must permit teaching.
- B. During the first 18 quarters of service, individuals appointed as Lecturer or Senior Lecturer are compensated at a rate within the published "Lecturer" range and in accordance with the Unit 18 Academic Standard Table of Pay Rates. Senior Lecturer salaries begin at approximately the rate for Professor, Step I. Determination of rate at initial appointment is based on professional qualifications. Appointees to the Supervisor of Teacher Education title are compensated at a rate from the Supervisor of Teacher Education pay scale.
- C. At the time of appointment to a 10<sup>th</sup> quarter of service within the same department, a pre-six Lecturer or Supervisor of Teacher Education will be given a six percent salary increase if the individual has not received an equivalent within range salary increase during the prior 9 quarters of service.
- D. An appointee who is reviewed for a Continuing Appointment (an Excellence Review) shall be reviewed for a merit increase in accordance with the guidelines in Red Binder II-10. Subsequent merit reviews will be conducted every three years to be effective July 1. At such time, a Continuing Appointment Lecturer who is found to be excellent will be paid at a rate at or above the minimum indicated on Salary Scale Table 16 and will receive a merit increase of at least six percent at a salary point on Salary Scale Table 17B. A Continuing Supervisor of Teacher Education will receive a merit of at least two-steps if found excellent.
- E. Appointments of a full academic year (three quarters) will be made on a 9/12 basis effective July 1. Appointments for only one or two consecutive quarters are made on a 9/9 basis and are effective October 1 for fall quarter, January 1 for winter quarter and April 1 for spring quarter. If the Lecturer concurrently holds another appointment at UCSB the decision to appoint as 9/12 or 9/9 may be dependent on the basis- paid- over of the other appointment. Departments are encouraged to consult with the College or Academic Personnel Analysts in these situations.

*F. Lecturers may be placed on Short Work Break in accord with Red Binder VI-18.*

## VI. Reappointment and Advancement

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

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

See Red Binder II-8 for procedures to be followed with respect to establishing the Continuing Appointment base FTE and Red Binder II-10 for procedures to be followed in the Personnel Review process.

The department must submit annual workload requests for all Continuing Lecturers and Supervisors of Teacher Education to the Dean for approval. The statement must clearly identify any temporary or permanent increases in FTE.
- C. Department Chairpersons have responsibility for administering departmental consideration of personnel actions regarding positions with titles in this series. Departmental evaluations and recommendations regarding appointments and reappointments shall be made pursuant to departmental procedures and in accordance with the Memorandum of Understanding.

**VII. Restrictions**

- A. Graduate level courses may be taught by appointees to these titles with the approval of the Graduate Council.
- B. Registered UC graduate students may not be appointed to these titles. Degree candidates who are not currently registered may be appointed as lecturer by exception. Such appointment requires prior approval of the Graduate Division.
- C. Recall appointments of a Lecturer or Senior Lecturer may not exceed 43% time, alone or in combination with other recall appointments. Appointments are requested using the [Academic Recall Appointment Form](#). Recall appointments are to be entered into [PPS UCPath](#) using the Recall: Teaching title (1700).

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

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

**IX. Approval Authority**

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



## II-10

### **Excellence Reviews and Subsequent Merit Reviews**

(Revised 5/16)

The Excellence Review of a Unit 18 member is intended to determine Continuing Status. Both the Excellence Review and subsequent merit reviews are intended to reward those individuals who meet specified standards of excellence. The retention of these candidates beyond the sixth year is a significant academic personnel action and the criteria and guidelines described herein must be carefully followed in the review process.

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

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

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

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

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

Article 7B E provides for the following measures of instructional performance:

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

#### **II. Evaluation of Performance**

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

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

### III. Review Procedure

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

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

### IV. Documentation of Performance

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

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

In addition, at least one of the following:

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

The individual under review may also provide:

- A self-statement of teaching
- A list of individuals from whom input may be solicited
- Letters of assessment from individuals with expertise in the field
- *Evidence of completion of an Instructional Development Teaching Certificate program*
- Other relevant materials to the evaluation file

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

## **V. Extramural Evaluations**

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

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

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

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

## **VI. Other Evidence**

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

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

## **VII. Service**

It is expected that a lecturer will participate in activities that involve service to the department and the university. The department should make its expectations clear in this area and should take care to include this information in its review of a candidate. Such data might include records of attendance at departmental and other meetings; department assignments undertaken; accessibility to students (office hour

commitments made and kept, independent studies programs directed, student activities sponsored and advised). Any such activities should be noted and evaluated; any such activities that are assigned as part of the candidate's workload should be subjected to a more rigorous evaluation. While every faculty member is expected to have some activity in this area, it should be recognized that the opportunities for such service will vary from lecturer to lecturer. Exceptionally meritorious service should be carefully documented in preparing the recommendation.

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

### **VIII. Reviewing Agencies**

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

**DOCUMENTS TO BE SUBMITTED BY THE DEPARTMENT  
EXCELLENCE REVIEWS AND SUBSEQUENT MERIT REVIEWS**

(Revised 4/15)

All personnel review cases are submitted via AP Folio

**I. Departmental review committee letter of recommendation**

Accurate and analytical letters of recommendation from the departmental review committee are essential in the review process. See Red Binder II-10 for further detail of content of departmental recommendations

- Are the effective date and recommended salary clearly stated?
- Is the letter an accurate, extensive, and **analytical** representation of the case?
- Is the ~~actual~~ **final departmental** 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 the case contains extramural letters, are letter writers identified **only** by coded list, with no identifying statements?
- Are all areas of review covered: ability in teaching, competence in the field, academic responsibility and other assigned duties?
- If there is a recommendation for an acceleration, are the reasons for the acceleration specifically stated?
- Is all relevant information from the Departmental letter accurately entered on the case up-load screen?

**II. Letters of evaluation solicited by the department (Excellence Review or Promotion only)**

- 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?
- Was the proper wording used in the solicitation letter (Red Binder II-10)?
- If different versions of either the letter or the materials went out, is a sample of each included?
- Is a Coded list of referees, along with a brief biography of each included with the case?
- 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, **or** department **suggested** **or independently suggested by both?** **or jointly selected?**
- Is a copy of the redacted letters given to the individual included?

**III. Complete CV**

- Is the CV up to date?

**IV. Safeguard Statement.**

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

- Has the candidate signed the safeguard statements? The case may not be forwarded until the candidate has signed.
- If there are no confidential documents (e.g. external letters, minority opinion letter), the appropriate box under #5 should be checked.
- Are copies of everything the candidate has provided, or been provided, included with the case?

**V. Evaluation of the teaching record.**

At a minimum, two sources must be included in the case. ESCI summary sheets and scores for questions A and B are mandatory.

- Is the B&P printout, or similar listing of classes included in the case?
- On the B&P printout, or similar listing of classes, is it noted which classes have ESCI's included with the case?
- Does the file accurately indicate which course evaluations were done via hard-copy and which were done on-line?
- Has the second source of teaching been clearly identified on the coversheet?
- If a self-assessment of teaching was submitted, is it included with the case?

**VI. Other Materials submitted by the candidate**

- Are all materials identified as candidate submitted?
- Were all materials considered and evaluated as part of the departmental review?

II-28  
**VISITING PROFESSOR**  
(Revised 11/15)

**I. Definition**

The Visiting prefix is used to designate one who:

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

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

**II. Appointment Criteria**

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

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

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

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

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

**III. Term of Appointment**

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

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

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

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

**IV. Compensation**

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

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

~~Salary at home institution x 1.16 = salary for fiscal year visiting appointment~~

Visiting appointments may also be made without salary.

**V. Appointment process**

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

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

**VI. Restrictions**

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

**VII. Approval Authority**

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

II-31  
**SHORT TERM TEACHING**  
(Revised 4/15)

Departments may occasionally have need for a short-term, less than one full quarter, teaching appointment. Depending on the nature of the assignment, various types of appointments may be appropriate.

**Guest Lecturers not employed by UC**

Guest Lecturers may not be the instructor of record, and are limited to service of 2 weeks or less. Guest Lecturers who are not otherwise employed by UC may be compensated for travel and living expenses through an honorarium paid from the department's supplies and expense budget. The honorarium request is processed via a Form 5 through the Accounts Payable office. Guest Lecturers are not entered into **PPS UCPath**. The Department Chair or P.I. may sign for honoraria of \$2,000 or less; honoraria of up to \$4,000 must be approved by the appropriate Dean or Vice Chancellor. Honoraria exceeding \$4,000 are approved by the Executive Vice Chancellor or Chancellor. Supporting documentation should include a curriculum vita and a statement of purpose.

Foreign visitors must have the proper visa if any form of financial payment is to be made to them. A J1, HI and F1 visa, issued by this campus, will allow payment of payroll and non-payroll expenses. A B1 will allow the payment of travel and subsistence only (i.e., university per diem rate and airfare expenses). A B2 will not allow reimbursement or payment of any kind. Questions regarding these matters should be directed to the Office of International Students and Scholars.

**Guest Lecturers from another UC campus**

For payment to a UC faculty for visits of two weeks or less, see Red Binder VI-15, one-time payments.

**Guest Lectures or other short term teaching by current UCSB employees**

Employees currently working at UCSB at less than 100% may take on additional teaching responsibilities, subject to appropriate approval, as long as the total employment does not exceed 100% time. For employees already employed at 100%, or in cases where the additional assignment would cause total employment to exceed 100%, departments are strongly urged to contact Academic Personnel prior to making a commitment or having the individual provide services. In cases where the employee holds a full time staff position, Human Resources must also be consulted. Employment beyond 100% will only be approved in rare and unusual circumstances. Individuals approved for appointment as a guest lecturer or other short term teaching, such as emergency partial quarter replacements, will be appointed in an appropriate teaching title using the **TFR-des TST earn** code. Use of the **TFR-des TST earn** code will require approval of the Associate Vice Chancellor for Academic Personnel regardless of appointment title.



II-33  
**WITHOUT SALARY TEACHING APPOINTMENTS**  
(Revised 11/16)

In order to serve as the instructor of record for a course that provides campus credit, or to formally advise graduate students, it is necessary to be appointed to a faculty title. In general, an individual who will perform these duties should be paid under the appropriate title as outlined in Red Binder section II. There are rare situations where use of a without salary teaching title may be appropriate. The without salary teaching title will normally be as either an Educator without Salary (title code 1675) or the Adjunct Professor series without salary (Red Binder V-17), dependent upon the qualifications of the individual and the range of duties to be performed.

- A. Individuals holding non-Senate academic research titles (e.g. Professional Researcher, Project Scientist) may be appointed to a without salary teaching title to teach classes that are directly related to the individual's research program and/or to serve as advisors to students. Note that effort reporting implications for researchers paid from external sources must be taken into consideration.
- B. Individuals holding non-research academic titles (e.g. Academic Coordinator) or staff titles (e.g. Environmental Health & Safety Officer) may be appointed to a without salary teaching title when 1) the class being taught is related to the individual's regular job duties and 2) the individual would suffer a loss in pay if time in the regular position were reduced and replaced with a paid teaching title appointment.
- C. In addition, there are occasional situations when an individual not otherwise employed by the University offers to teach a course without salary. In such cases it must be clearly documented that the individual is volunteering to teach without salary. Departments are encouraged to consult with their Dean's office or Academic Personnel prior to initiating without salary teaching agreements.

*Requests for appointment in the Adjunct Professor series without salary must be requested in accord with Red Binder V-17, IV. To request appointment as Educator without Salary the following documents must be submitted to Academic Personnel, via the Dean's office:*

- *Current CV*
- *UCSB Biography form*
- *Departmental recommendation letter that includes a summary of the candidate's qualifications, the teaching that will take place, and the justification for the use of the Educator without Salary title*

III-1  
**TEMPORARY RESEARCH APPOINTMENTS**  
**General Information**  
(Revised 11/16)

Titles in this section are to be used for individuals involved in research and do not have formal teaching responsibilities. Questions concerning the use of staff titles for individuals involved in research should be directed to Human Resources.

Policies

The campus policies for Discipline and Dismissal (Red Binder IX-20), Non-Senate Academic Grievances (Red Binder IX-25), and Layoff and Involuntary Reduction in Time (Red Binder IX-30) are applicable to appointees in this section.

The campus policy and procedures for affirmative action are set forth in Red Binder Section VII.

Deadlines for submission of merit/promotion requests

All merits and promotions for individuals in the Professional Research, Specialist, and Project Scientist series will be effective July 1.

Requests for advancement must be submitted according to the following schedule:

<u>Series</u>	<u>Submit to:</u>	<u>Due Date</u>
Professional Research		
Academic Departments	Dean's Office	March 1
ORUs	Academic Personnel	March 1
Project Scientist, Specialist	Academic Personnel	April 1

Service limitations

For all series, six months or more of service, with or without salary, in any fiscal year counts as one full year of service for advancement eligibility purposes.

Appointments or reappointments in the Project Scientist and Specialist, series are normally made for one year at a time, but for certain titles may be longer. See specific Red Binder sections for limitations for each title.

Appointments and reappointments in the Professional Research series may be made for up to two years at a time at the Assistant and Associate level and up to three years at a time at the Researcher level if guaranteed funding is available.

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

*Appointees in research series may be placed on Short Work Break in accord with Red Binder VI-18.*

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

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

Recall appointments in any temporary research title may not exceed 43% time, alone or in combination with other recall appointments. Appointments are requested using the [Academic Recall Appointment Form](#). Recall appointments are to be entered into **PPS UCPATH** using the Recall Non-Faculty Academic title (3802 or 3812).

Titles not specifically discussed in the Red Binder may not be used without prior approval by the Academic Personnel Office and will be subject to campus practice and APM policy.

III-7  
**DOCUMENTS TO BE SUBMITTED BY THE CHAIR**  
**RESEARCH APPOINTMENTS**  
(Revised 10/17)

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 final departmental** 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, 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 appropriate for the series** (Red Binder ~~I-46~~ **III-12, III-14, III-16**)
- 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?
  - Are any anomalies in the composition of reviewers explained?**
- 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, **or** department **suggested or independently suggested by both?** **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-9  
**DOCUMENTS TO BE SUBMITTED BY THE CHAIR**  
**RESEARCH REVIEWS**  
(Revised 4/15)

All personnel review cases are submitted via AP Folio.

**I. Departmental letter of recommendation**

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

For All Cases:

- Are the listed 'current' and 'proposed' salary rates the total salary rate, inclusive of any off-scale supplement?
- If the salary is off-scale or above scale is it rounded to the nearest \$100 for the Research and Project Scientist series?
- Is the off-scale supplement correct (if applicable), per off-scale general policies (RB I-8)?
- If a vote was taken, is the **actual final departmental** 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?
- Is the letter an accurate, extensive, and **analytical** representation of the case?
- Are all areas of review covered: research; professional activity; and, university and public service as appropriate?
- If there is a recommendation for an acceleration, are the reasons for the acceleration specifically stated?
- In the case of a negative departmental recommendation, is the basis of the recommendation clearly documented?

For Career Reviews:

- If the case contains extramural letters, letter writers identified **only** by coded list, with no identifying statements?
- Does the letter provide an overview of the career accomplishments as well as analysis of the achievements within the most recent review period?

**II. Chair's Separate Confidential Letter (optional)**

See Red Binder I-35 for further information.

- Is the letter clearly marked "Chair's Separate Confidential"?

**III. Safeguard Statement—**

The candidate must sign an online safeguard *for each departmental recommendation*. A signed safeguard *must be forwarded with each departmental recommendation*. If it is difficult or impossible to obtain this document, the Chairperson should explain the situation and indicate in what manner he/she has attempted to meet the requirements outlined in the form.

- If there are no confidential documents (e.g. external letters, minority opinion report), the appropriate box under #5 should be checked.
- Are copies of everything the candidate has provided, or been provided, included with the case (e.g. redacted letters, list of potential evaluators)?

**IV. Bio-bibliographical Update** (excluding teaching section).

- Is it in the proper format? (See Red Binder I-27)
- Is the Research section a **cumulative** list of publications (or creative activities) with a line drawn separating all new items from where the bio-bib from the last review case had ended?
- Are the numbers the same as in the previously submitted bio-bib, and have items previously listed as "In Press", "Submitted" been accounted for?
- Are all items, including "In Press", "Submitted", and "In Progress" properly numbered?
- Are publications identified as "refereed" when appropriate?
- If sections other than Research are cumulative, are lines drawn showing what is new since the last successful review?
- If publications are being submitted via electronic links, are the links current and direct to the specific item?

V. **Extramural letters of evaluation and list of evaluators (RB 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? Are the codes also on the redacted versions?
- If the letters were sent via email, is a copy of the email and any attachment included?
- If redacted copies of the letters were provided to the candidate, is a copy included (one copy only), and did he/she check box 6A on the Procedural Safeguards Statement?

**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- 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 the letters or 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, **or** department **suggested suggested or independently suggested by both? 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?

VI. **Self-Assessment of research and/or other activity and accomplishments (optional)**

- If a self-assessment of research and/or other activity and accomplishments was submitted, is it included in the case? Self-statements may address research, professional activity, service, or contributions to diversity and equal opportunity.

VII. **Copies of publications.**

It is the responsibility of each candidate to maintain copies of published research or other creative work and reviews. One set of publications for the review period should be forwarded with the case. Publications submitted with the case, along with other single copy items, will be returned to the department upon completion of the review.

- Have all items included in Part I of the bio-bib for the current review period been submitted, including In Press and Submitted items?
- Has appropriate evidence been provided for In Press items?**
- Do all of the titles on the actual publications match those listed on the bio-bib?
- For promotion to the Associate level, are all publications included?
- If publications are being included via a link in the bio-bib, has the link been verified?
- If any publications are missing from the file, is a note included noting which are missing and explaining why?
- For other career reviews (promotion to Full in any series, advancement to Researcher Step VI or Above Scale), are all publications since last review, and all or a representative sample of publications from the prior record included?

III-17  
**POSTDOCTORAL SCHOLARS**  
(Revised 12/16)

**I. Definition**

Postdoctoral Scholar appointments are intended to provide a full-time training program of advanced academic preparation and research training under the mentorship of a faculty member (defined as ladder faculty or professional researcher). System-wide policies regarding Postdoctoral Scholars may be found in APM 390 and the Memorandum of Understanding (MOU) for the Postdoctoral Scholar unit.

**II. Appointment Criteria**

Appointment to a Postdoctoral Scholar title requires a doctorate or its equivalent. Postdoctoral Scholars may be appointed into the following titles:

- Postdoctoral Scholar- Employee (3252 or 3255)  
Used when payment for the appointment will be made via the University payroll system. This title is also used to supplement Fellow or Paid-Direct appointments when the external funding amount is below the required salary level. 3252 is used for exempt appointments and 3255 is used for non-exempt appointments.
- Postdoctoral Scholar- Fellow (3253)  
Used when the appointee has been awarded a fellowship or traineeship by an extramural funding agency that will be paid through a University account. The appointment in **PPS UCPath** may be with salary or without salary (funds paid as a stipend) depending on the fund source.
- Postdoctoral Scholar- Paid Direct (3254)  
Used when the appointee is paid a fellowship or traineeship directly by the granting agency. Appointed without salary in **PPS UCPath**.
- Interim Postdoctoral Scholar-Employee (3256)  
Used when a UCSB graduate student has obtained their Ph.D. and needs a short-term appointment to complete an existing project from their degree program before moving on to other employment.

The [Chart Defining Postdoctoral Scholar Positions](#) may be helpful in determining if the candidate is appropriately appointed as a Postdoctoral Scholar, and if so, which of the Postdoctoral Scholar titles to use.

**III. Terms and Conditions of Employment**

- A. Appointment must be made at 100% time. Exceptions may be granted by the Associate Vice Chancellor for Academic Personnel in the following circumstances
1. Personal health
  2. Family responsibilities
  3. Employment external to the University
  4. To accommodate a temporary teaching appointment at UCSB

If the Postdoctoral Scholar is on an H-1B visa, an amendment to the H-1B must be filed reflecting the appointment percentage.

- B. The total duration of appointment in any combination of Postdoctoral Scholar titles, including postdoctoral service at other institutions, may not exceed five years.
- C. Appointments will be for the durations specified in the MOU as follows:
1. Postdoctoral Scholar- Employee
    - The initial appointment will be for a minimum of one year
    - The first reappointment will be for a minimum of two years unless the initial appointment was for two years.



- Subsequent reappointments will be for a minimum of one year

Exceptions to the reappointment minimums will be granted if the funding, programmatic work, work authorization or visa end date, or five-year limit on Postdoctoral appointments will occur prior to the reappointment minimum end date or if the Postdoctoral Scholar requests a short-term bridge to other employment.

2. Postdoctoral Scholar- Fellow or Paid Direct

- The appointment will be for the duration of the fellowship award or extramural funding.

3. Interim Postdoctoral Scholar-Employee

- The appointment will be for the duration needed to bridge to the next employment but may not exceed one year.

#### IV. Requests for Appointment, Reappointment or Modification

A. Appointments, reappointments, and modifications require submission of the completed and signed [Postdoctoral Scholars Appointment Form](#) along with the following documents:

- Initial Appointments

1. UCSB Biography form
2. An up to date Curriculum Vitae
3. For a Postdoctoral Scholar Fellow or Paid Direct, a copy of the external funding agency's award letter and guidelines. The letter should include specific information regarding the salary support and the amount of funding available for coverage of health insurance and other required benefits. If the external agency will not provide funds for health insurance and other benefits, a departmental funding source must be provided.

- Reappointments

1. Annual evaluation form
2. For a Postdoctoral Scholar Fellow or Paid Direct, an updated copy of the external funding agency's award letter and guidelines.

- Modifications

1. For a Postdoctoral Scholar Fellow or Paid Direct, an updated copy of the external funding agency's award letter and guidelines.
2. For a reduction in time, appropriate documentation supporting the reason for the reduction.

**B. *Formal offers of employment may be extended prior to conferral of the Ph.D. however such offers are contingent on conferral of the Ph.D. prior to the start date of the appointment.***

C. The completed form and appropriate attachments should be submitted to Academic Personnel at least a month prior to the start date of the appointment, reappointment or modification. A copy should be maintained in the departmental files.

D. Upon notification of approval of the action from Academic Personnel, the Department must provide the Postdoctoral Scholar with an appointment letter using the sample found at <https://ap.ucsb.edu/resources.for.department.analysts/postdoctoral.scholar.appointments/> along with appropriate attachments.

E. The Postdoctoral Scholar must confirm their acceptance of the offer by signing and returning the appointment letter on or before the first day of employment. Upon receipt of the acceptance, the Department may enter the Postdoctoral Scholar into PPS. A copy of the signed acceptance must be forwarded to Academic Personnel.

#### V. Compensation

- A. All Postdoctoral Scholars must be paid at or higher than the minimum for their experience level, as indicated on the posted salary scale (Salary Scale 23/23N.) If an extramural granting agency will provide less than the minimum salary for the experience level, the faculty mentor must arrange additional funding prior to the beginning date of the appointment in order to provide the minimum salary.
- B. When a Postdoctoral Scholar- Fellow or Paid Direct requires salary supplementation as described in A., the supplement will be paid using the Postdoctoral Scholar-Employee title.
- C. Movement to the next experience level pay rate must occur no later than the anniversary date of the Postdoctoral Scholar's original appointment date. Postdoctoral Scholars who are already above the new experience level rate must receive at least a 2% salary increase on their anniversary date. When the anniversary date occurs mid-appointment, the [Postdoctoral Scholars Mid Appointment Salary Increase](#) form is to be completed and submitted to Academic Personnel for approval of the increase.
- D. Mid-year salary increases are allowed but do not negate the mandatory increase on the Postdoctoral Scholar's anniversary date.

## VI. Leaves

- A. Postdoctoral Scholars are eligible for 12 days of sick leave per twelve-month appointment period. All 12 days of leave are available for use effective the first day of the appointment. Any balance remaining at the end of an appointment period is to be carried forward to any subsequent Postdoctoral appointment or other University appointment that provides sick leave. A Postdoctoral Scholar who is reemployed after a separation with a break of less than six months will have sick leave reinstated in accord with Article 23 of the MOU.
- B. Postdoctoral Scholars are eligible for 24 days of personal time off per year. All 24 days of leave are available for use effective the first day of the appointment. Balances remaining at the end of an appointment do not carry forward to subsequent appointments. Time off for Postdoctoral Scholar-Fellow and Postdoctoral Scholar-Paid Direct appointees may be paid or unpaid, depending on the provisions of the funding agency agreement.
- C. Sick leave and personal time off are both recorded in full day increments. Approved absences of less than one full day do not require the use of personal time off or sick leave. **Leave usage is to be tracked outside of the PPS system by the Department.**
- D. Postdoctoral Scholars are also eligible for other leaves of absence as outlined in Article 12 of the MOU. Leaves of absence, other than use of personal time off or sick leave, require prior approval from the Associate Vice Chancellor for Academic Personnel.

## VII. Reviews and evaluations

- A. The Supervisor or PI who serves as the Postdoctoral Scholar's mentor must, within a reasonable time after the beginning of each appointment communicate to the Postdoctoral Scholar the mentor's research and progress expectations for the period of the appointment. The Postdoctoral Scholar may request that the expectations be provided in writing.
- B. Mentors shall conduct an annual written review of each Postdoctoral Scholar's performance. A sample evaluation form is available at: <http://www.graddiv.ucsb.edu/scholars/staff-resources> . The evaluation form must be submitted every 12 months or at the end of the Postdoctoral Scholar's appointment, whichever comes first. A copy of the evaluation must be provided to the Postdoctoral Scholar upon request and a copy kept in the department personnel file. In addition, mentors and Postdoctoral Scholars must periodically engage in informal oral progress assessments.
- C. A Postdoctoral Scholar may elect to develop an Individual Development Plan (IDP) that identifies the Postdoctoral Scholar's research goals as well as professional development and career objectives. The Postdoctoral Scholar's mentor should, upon request from the Postdoctoral Scholar, engage in the process of reviewing and discussing the IDP with the Postdoctoral Scholar.

## **VI. Layoff**

Layoff may occur as a result of the loss of appropriate funding for the position prior to the stated end date of the appointment. A Postdoctoral Scholar will be given 30 calendar day notice of layoff. Pay in lieu of notice may be given. The Postdoctoral Scholar may request a written summary concerning unavailability of funds. Consultation with Academic Personnel and Labor Relations is required prior to the initiation of any layoff action and should occur as far in advance as possible.

## **VII. Discipline and Dismissal**

Discipline or dismissal may take place when, in the University's judgment, the Postdoctoral Scholar's performance or conduct merits such action. Dismissal is termination of the appointment, prior to the appointment end date based on conduct or performance such that continued employment is not justified. Discipline may take one of the following forms:

- A. Written warning informing the Postdoctoral Scholar of the nature of the problem, requirements for continuation of the appointment, and possible consequences if the problems are unresolved.
- B. Suspension from the training program, without pay, for a stated period of time. Unless otherwise stated, such suspension will include loss of other privileges such as parking, access to University property and library privileges.
- C. Dismissal from the Postdoctoral Scholar position.  
Consultation with Academic Personnel and Labor Relations is required prior to initiating any disciplinary action.

## **VIII. Approval Authority**

### Action

All actions

### Authority

Associate Vice Chancellor, Academic Personnel

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.

*In limited circumstances, an individual who is establishing a research relationship with UCSB but is not yet funded, and for whom UCSB is the main affiliate, may be appointed as Research Associate or Research Fellow.*

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 [Contingent Workers Appointment 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

**VISITING (RESEARCHER AND PROJECT SCIENTIST) APPOINTMENTS**

(Revised 1/18)

**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 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

IV-1  
**STUDENT ACADEMIC TITLES**  
**General Information**  
(Revised 10/17)

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.

D. *Appointees in academic graduate student titles may be placed on Short Work Break in accord with Red Binder VI-18.*

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/>



**PROFESSOR OF PRACTICE**

(Revised 11/16)

**I. Definition**

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

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

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

**II. Appointment and advancement criteria**

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

1. Professional competence and activity

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

2. Teaching contributions

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

3. Research contributions

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

4. Service contributions

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

### **III. Terms of service**

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

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

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

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

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

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

### **IV. Compensation**

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

The departmental recommendation letter must justify the salary level recommended.

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

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

### **V. Restrictions and Conditions of Employment**

- A. This series does not accord tenure or security of employment.
- B. This series does not convey membership in the Academic Senate.
- C. Appointees in this series are subject to APM 137, Non-Senate Academic Appointees/Term Appointment.
- D. Appointees in this series are not eligible for sabbatical leave, but are eligible for other types of leave with pay in accordance with APM and campus policies
- E. Salaried Professors of Practice are subject to the restrictions set forth in APM 025, Conflict of Commitment and Outside Activities of Faculty Members.

## VI. Appointment and advancement processes

- A. Paid appointments as Professor of Practice *at 50% or more* that exceed one year will be considered the equivalent of ladder-rank faculty appointments for purposes of appointment and advancement. Procedures and policies concerning appointment and advancement within the ladder ranks will apply to these positions (Red Binder I). The checklists for appointment (Red Binder I-15) and for advancement (Red Binder I-31 and I-34) should be used when preparing cases. *For individuals appointed at less than 50% time the same checklists are to be used to prepare the case.*
- B. All advancement actions are based on the individual's achievements. Merit increases are based on the academic record since the time of last review. Any advancement requested prior to the normative time at step will be considered an acceleration and must be justified as such.
- C. All merits and promotions will be effective July 1. Completed cases must be submitted to the college by the deadlines established for ladder-faculty cases. Cases received after the due date will be returned to the Department and will not be processed. A missed deadline may not be used as justification for retroactivity in a future review.
- D. Deferral will be automatic if a Professor of Practice does not submit material by the departmental due date and no case is forwarded by the department, with the exception of formal appraisals and mandatory reviews.
- E. Appointees in the Professor of Practice series must undergo a performance review at least once every five years, including an evaluation of the record in all review areas. This review may not be deferred. If the candidate does not turn in materials by the departmental due date, the department will conduct the review based on the materials available in the department as of the due date.
- F. External letters of evaluation will be required in cases of: appointment as Professor of Practice, merit to Professor of Practice, Step VI and merit to Professor of Practice Above Scale. The policies related to solicitation of external evaluation for ladder faculty must be followed (Red Binder I-46 to I-50).
  1. The following wording should be inserted into the standard letter as appropriate:
    - a. \_\_\_\_\_ is being considered for [appointment as a Professor of Practice/ merit to Professor of Practice Step VI/merit to Professor of Practice Above Scale] in the Department of \_\_\_\_\_  
Appointees in the Professor of Practice series are distinguished professionals, either practicing or retired, who help promote the integration of academic scholarship with practical experience. For such appointees the candidate's record of professional competence and activity is carefully assessed as is their record of, or potential for teaching, and contributing to the research and service missions of the University.
- G. Professional activity, teaching, and creative contributions may differ from standard ladder-rank professorial activities, and can also be judged on the basis of professional competence, intellectual contribution, originality, and the total value of the appointee's engagement with the department. Evaluation of the candidate with respect to these criteria should take into account the nature of the University assignment of duties and responsibilities.
- H. Appointments as Visiting Professor of Practice will follow the same process as appointment as a Visiting Professor (Red Binder II-28, V). Visiting Professors of Practice are not eligible for merit increases.

## VII. Approval Authority

Action

All actions

Authority

Associate Vice Chancellor for Academic Personnel

VI-5  
**ACTIVE SERVICE- MODIFIED DUTIES**  
(Revised 5/17)

- A. Periods of Active Service-Modified Duties, with pay, shall be granted on request to any academic appointee who is responsible for 50 percent or more of the care of an infant for the period before and/or immediately following a birth, or adoption of a child under age five, in order that the parent can prepare and/or care for the infant or young child. Active Service-Modified Duties is not a leave, but rather a reduction of duties. Eligibility for Active-Service Modified Duties will normally extend from 3 months prior to 12 months following the birth or placement. The period of Active-Service Modified Duties must be concluded within 12 months following the birth or placement. During this period normal duties shall be reduced. For represented non-senate faculty, the accommodation may involve the assignment of additional resources. Duties to be assumed during this period shall be arranged between the Department Chairperson and the appointee.
- B. For appointees who do not accrue sick leave, periods of Active Service-Modified Duties at full pay shall be granted upon request.
- C. For appointees who accrue sick leave, periods of Active Service-Modified Duties shall be granted upon request. Sick leave shall be used in proportion to the reduced work-load. If sick leave credit has been exhausted, there shall be an appropriate reduction in pay.
- D. Requests for periods of Active Service-Modified Duties must include a written statement by the academic appointee certifying that she/he has 50 percent or more of the responsibility for the care of an infant or young child. In addition, a statement describing the modified duties must be included with the request and is subject to the approval of the appropriate Dean or the Associate Vice Chancellor for Academic Personnel.
- E. An individual other than the birth mother will be eligible for up to 12 weeks (*fiscal year appointee*) or one quarter (*academic year appointee*) of Active Service-Modified Duties for each birth or adoption. The birth mother will be eligible for up to 36 weeks (*fiscal year appointee*) or ~~two~~ three quarters (*academic year appointee*) of Active Service-Modified Duties, or childbearing leave plus Active Service-Modified Duties. Extension beyond the normal limits requires approval by the Associate Vice Chancellor for Academic Personnel and will be approved only in exceptional circumstances.

VI-9  
**COMPENSATION**  
(Revised ~~11/16~~)

Academic- year appointment

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

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

Fiscal-year appointment

Fiscal-year appointments are not aligned with the academic year and have begin and end dates that reflect the actual dates of work. Research appointments and some academic coordinator positions are fiscal-year appointments. *To convert an academic-year salary to a fiscal-year salary, a factor of 1.16 is used.*

Regular compensation

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

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

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

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

### Flat-rate (BYA and TFR TST) payments

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

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

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

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

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

### Initial Employment

*An individual who will perform academic service for the campus for more than two weeks must be appointed to an appropriate academic title, entered into the payroll system and must sign the Oath of Allegiance (except non-US citizens) and Patent Acknowledgment. Both paid and without salary employees are required to sign the Patent Acknowledgement. Both the Oath and Patent Acknowledgement must be signed on or before the first date of service to the University. For 9/12 employees the documents must be signed on or before the first day of service for the quarter of initial employment.*

*All new employees must show evidence that they are eligible to be employed in the United States. The I-9 should normally be completed on or before the first day of employment. In no case may the I-9 be completed more than three days after the first date of employment. For 9/12 employees the I-9 must be completed on or before the first day of service for the quarter of initial employment.*

VI-14  
**EXTRAMURALLY FUNDED RESEARCH**  
(Revised 04/13)

Payment During the Academic Year

During the academic year a faculty member may not use grant funds to earn in excess of his or her regular 100% salary. The faculty member may, however, with the permission of the Chair and Dean, use the grant funds in place of a portion, or all, of his or her regular state funded salary for a limited amount of time. This is called a release to grant, it is **not additional compensation**. The salary being paid from the grant funding must be paid under a Professional Research title, rather than the Professor title. Payments are made on the same basis and at the same pay rate as the Professor appointment (9/12). The **DOS earn** code used is REG.

A faculty member may be paid from a fellowship administered through UCSB. Payments during the academic year are considered leaves with pay (see Red Binder VI-7F).

Payment during the summer:

During the summer a faculty member may earn additional compensation from extramural contracts and grants (**Red Binder VI-10.**) The payments are made using the Professional Researcher- 1/9<sup>th</sup> title code and pay rate, and the **DOS earn** code **ACR**. Additional research compensation during the summer period is calculated using the Daily Factors 19-day Chart. The chart is used to determine the percentage of time and effort equivalent to the number of summer days worked. The total percent time for each day in the summer may not exceed 100%. However, total earnings in a calendar month may exceed 100% as indicated on the Daily Factors 19 day chart. (Red Binder VI- 12) Payment is to be issued at the pay rate in effect at the time of the service.

Funding restrictions:

While faculty are in general allowed to receive up to a maximum of 3/9ths summer pay, some funding sources may contain restrictions that further limit the allowable total. Faculty and departmental staff must observe these limitations.

For example, faculty earning summer compensation from NIH sources, the NIH salary cap must be observed. If the NIH cap figure is lower than the faculty member's annual salary rate, it will not be possible to earn a full 3/9ths from the NIH grant. The NIH cap figure must be used as the annual rate for the summer payments, and the 19-day chart and the maximum of 57 days must still be observed. Funds subject to the NIH cap are paid out using the **DOS earn** code of **ARC with a distribution rate of 1/9<sup>th</sup> pay rate equal to or less than of the NIH cap figure.**

It is possible for the faculty member to receive summer compensation from other sources as long as the total does not exceed 3/9ths. Additional sources may include; summer session teaching, chair stipends or payment of an NIH salary supplement (**title code 3998**). The salary supplement may not be paid from contract or grant funds. Acceptable supplement sources include gift or endowed chair funds or other unrestricted funds. NIH salary supplements are paid on a flat rate basis using the **DOS earn** code of **AAC**.



VI-15  
**INTERCAMPUS PAYMENTS**  
(Revised 4/15)

Reference: APM 666

**One-time Payments**

Under certain circumstances Academic appointees holding full-time appointments may receive honoraria for lectures or similar services given on another UC campus. Such compensation may not be made from state funds, but is permitted from gifts, endowments, contracts and grants with specifically budget provisions for such honoraria or from University Extension. If non-state funds are not available, a faculty member may only be reimbursed for actual expenses incurred in presenting lectures or performing similar services from 1990 funds.

One-time honoraria payments are allowable up to ~~\$1,500~~ **\$2,500** per event, and up to ~~\$3,000~~ **\$5,000** by exception, requiring the approval of the Associate Vice Chancellor for Academic Personnel. During the academic year the total earned for lectures and similar services may not exceed 10% of the individual's annual salary. Payment will be made using the ~~DOS~~ **earn** code of **HON**.

Payments for lectures and similar services that take place during the summer count toward the 3/9th limit for summer additional compensation.

**Multi-campus appointments**

In situations where an academic employee is simultaneously employed on two campuses approval from the appropriate Dean's office and/or Academic Personnel office must be obtained **prior** to the processing of the Temporary Intercampus or Multi-campus Appointment Form. The total percent time on the two campuses may not exceed 100%. The employee will continue to receive a single paycheck, **either** from the home campus **or via UCPATH**, with accounting processing payroll transfers from the host campus ~~to cover the cost~~ **when both campuses are not yet on UCPATH**.

Processing of forms

When UCSB is the host campus, the department will prepare an [Intercampus One-Time Payment](#) form or [Temporary Intercampus or Multicampus Appointment Form](#) indicating the desire to hire a person from the home campus. The UCSB department should contact the home department to verify the individual's current title, pay rate and basis of pay. The form should be filled out to include the person's name, title for payment, the host department's name, the rate of pay and the period of the appointment. The appropriate individual in the department should sign as the "Host Campus Fund Source Authorization. The completed form must be submitted to the Academic Personnel office, with a copy sent to College office or other appropriate control point. The Academic Personnel office will assure that the payment is allowed by policy and that the appropriate appointment paperwork has been processed for multi-campus appointments.

When UCSB is the home campus, the [Intercampus One-Time Payment](#) form or [Temporary Intercampus or Multicampus Appointment Form](#) will be prepared and sent by the host campus department directly to the UCSB Academic Personnel office, and will then be forwarded to the home department. The department should verify the accuracy of the information on the form, ensure policy compliance, and obtain the appropriate departmental signature on the "Home Campus Dean's Office/Academic or Staff Personnel" line. The completed form must be submitted to the Academic Personnel office, with a copy sent to the College office or other appropriate control point.

VI-17  
**OTHER ADDITIONAL COMPENSATION**  
(Revised 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 earn** code **SSC ACS** 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 earn** code **SST ASN** 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 earn** code **ACX** is used for current University faculty employed at 100% time who are teaching as additional compensation.

The **DOS earn** code **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 *additional pay* using the **DOS earn** code of **FCA ACF**.

**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 earn** code of **ACM ADC** will be used for percentage based (1/9<sup>th</sup>) awards, and the **DOS earn** code of **AMN ACN** 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 an earn** 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 1/12<sup>th</sup> rate as the distribution rate, and the **DOS earn** 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 earn** code of **HON**. One-time honoraria payments are allowable up to **\$1,500 \$2,500** per event, and up to **\$3,000 \$5,000** 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 earn** code to be used.

Draft

## VI-18 SHORT WORK BREAK

An employee may be put on Short Work Break (SWB) in specific situations where there is a break in paid service to the University. SWB should only be used when there is an intent for return to paid service within a specified period of time. SWB does not constitute an offer of future employment. Appropriate processes for future appointments must be followed according to the appropriate Red Binder and contractual policies. The return does not necessarily have to be to the same job. During SWB the employee may not perform any duties for the University. SWB may be used in the following situations:

### Academic Student employees (GSRs, TA, Associate, Reader, Remedial Tutor)

The employee may be put on SWB status during summer or during academic quarters in which there is no appointment. SWB is limited to four consecutive months and may only be used when there is an intent to return to student employment at the end of the SWB.

### Lecturers (pre-six or Continuing)

The employee may be put on SWB in between quarters of active employment. The employee may or may not be eligible for a benefits bridge. SWB is limited to two consecutive quarters (plus summer). Pre-six Lecturers must have an approved job to which they will return at the end of the SWB.

### Research appointments

The employee may be put on SWB during periods of an approved appointment when a break in funding occurs and no work is being performed. Research SWB is limited to four months.

At the end of a SWB the employee must either return to paid employment or the job must be ended.

The Short Work Break matrix [\[link to website location\]](#) provides additional guidance regarding the use of SWB.

Delete

VI-19  
**EMPLOYMENT FORMS**  
(Revised 05/14)

Departments and Organized Research Units have the responsibility of preparing all employment forms for new employees. The chart on VI- 21 summarizes the forms necessary for each type of new hire. All new hire forms are available on-line via the Payroll Office web site and once completed should be forwarded to the Payroll Office. The information below provides special guidance for academic employees.

Oath of Allegiance and Patent Acknowledgement

An individual who will perform academic service for the campus for more than 2 two weeks must be appointed to an appropriate academic title, entered into the payroll system and must sign the Oath of Allegiance (except non-US citizens) and Patent Acknowledgment. Both paid and without salary employees are required to sign the Patent Acknowledgement. Forms must be signed on or before the first date of employment. For 9/12 employees the forms must be signed on or before the first day of service for the quarter of initial employment.

Employment Eligibility Form (I-9)

Each new employee must show evidence that they are eligible to be employed in the United States. It is the Department's responsibility to determine the status of employees. The I-9 form should normally be completed on or before the first day of employment. In no case may the form be signed more than three days after the first date of employment. For 9/12 employees the form must be completed on or before the first day of service for the quarter of initial employment. Additional information regarding the I-9 verification process is available via the Office of International Students and Scholars web site.

UCSB Biography form

The UCSB biography form provides the department with basic information regarding the employee at the time of initial appointment. The form is available on the Academic Personnel website at <https://ap.ucsb.edu/forms/Biography.pdf> .

**DELETE**

VI-21

**SUMMARY OF REQUIRED PAYROLL FORMS FOR ACADEMIC EMPLOYEES**

(Revised 01/14)

	Enter into PPS	Loyalty Oath*	Patent Agreement**	I-9	W-4	UCSB Biography Form
<b>PAID EMPLOYEES</b>						
All titles	Yes	Yes	Yes	Yes	Yes	Yes
<b>WITHOUT SALARY EMPLOYEES</b>						
<u>Research titles:</u>						
Visiting Researcher, Visiting Project Scientist	Yes	Yes	Yes	No	No	Yes
Visiting Scholar/Student	Yes	No	Yes	No	No	Yes
<u>Instructional titles</u>						
Visiting Professor, Lecturer, Adjunct Professor	Yes	Yes	Yes	No	No	Yes
Short term, less than 2 weeks	No	No	No	No	No	No

\*Non-citizens are exempt from signing the Loyalty Oath.

\*\*A University Patent Acknowledgment must be signed even if patent agreement is active at home institution or place of employment.

VI-22  
**APPLICATION FOR ALIEN SALARY ADVANCE**  
(Revised 4/15)

The Alien Salary Advance procedure was established to assist incoming alien academic appointees who need monetary assistance while getting settled in the United States. This fund is only available to those who have entered this country within the last 6 months.

An alien salary advance may be requested for up to \$8,000.00. The advance must be paid in full thirty days prior to the ending date of the appointment or within six months of arrival, whichever comes first.

Advances are not available (except on rare occasions) until the first day of the employee's appointment. The employee may apply three to four days prior to the beginning date of the appointment to allow for processing of the application.

The application for the advance should include the following, which is prepared by the department:

- 1) The request should be made on departmental letterhead, addressed to the Associate Vice Chancellor, explaining the reason for the advance request; the amount; and the monthly repayments most convenient for the applicant. This letter should include the department chair's signature as well as the applicant's signature.
- 2) The department prepares a Form 5 check-request with the following information: The name of the person receiving the check, the reason for the check (i.e., "Alien Salary Advance"), the amount, and the departmental contact for check pick-up.
- 3) A copy of the appointment letter with final approval. ~~along with an IDOC or print screen from PPS showing the appointment has been entered into the system.~~

The Associate Vice Chancellor will approve the letter of request, sign the check request, and send the forms to Accounting for processing. Questions concerning alien advances should be directed to Academic Personnel, extension 3445.

VI-23  
**F.W. DOHRMANN LOAN FUND**  
(Revised xx/xx)

The F.W. Dohrmann Loan fund has been established to provide short- term emergency loans to *Senate* faculty members. *The fund is supported by an endowment held at the Office of the President.* The purpose of this loan is to supply funds in the case of unusual circumstances involving real and personal hardship.

*Loans are reviewed and considered on a case by case basis and may not exceed \$5,000. Loans should not exceed \$2,000 and are to* Loans will be repaid through payroll deductions *and All loans should* will normally be repaid within one year of issuance or *at least 30 days* before the ending date of the appointment, whichever comes first. Loans repaid within one year will be charged no interest. *In the event that a loan is, by exception, extended beyond one year, interest* loans extending beyond a year will be charged *at a rate of* 5% per annum.

*The Dohrmann loan is not intended for recurrent use, but for very occasional emergencies.* Because this is a revolving account, repayment is encouraged as soon as possible, so that funds are available for other faculty members.

*To request a Dohrmann Loan, the Loan application form [add link] must be completed, signed, and submitted to the Associate Vice Chancellor for Academic Personnel.*

**Procedures for applying for a Dohrmann Loan are as follows:**

- 1) Requests should be made on departmental letterhead, addressed to the Associate Vice Chancellor for Academic Personnel, 5105 Cheadle Hall (see sample below).
- 2) State the reason for the loan; the amount required; how monthly payments will be made home address telephone number.

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

*See below for an eligibility list by title code, for departmental use in determining who qualifies for this special fund. Questions regarding eligibility may be directed to the Academic Personnel office at x3445.*

**Eligible Faculty For Dohrmann Loan Fund**

<u>Title Code</u>	<u>Title</u>
1100	Professor – Nine Month
1143	Professor – Nine Month Business/Engineering
1200	Associate Professor – Nine Month
1207	Acting Associate Professor – Nine Month
1243	Associate Professor – Nine Month Business/Engineering
1300	Assistant Professor – Nine Month
1307	Acting Assistant Professor – Nine Month
1977	Acting Assistant Professor – Nine Month Business/Engineering
1343	Assistant Professor – Nine Month Business/Engineering
1603	Senior Lecturer w/Security of Employment – Nine Month
1607	Lecturer w/Security of Employment – Nine Month



Sample Letter

Departmental Letterhead

Current Date

Associate Vice Chancellor  
for Academic Personnel  
5105 Cheadle Hall

Dear Dr. \_\_\_\_\_:

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

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

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

Sincerely,

Faculty Name  
Title

Employee ID number  
Home Address  
Phone Number

VI-26  
**SEPARATIONS**  
(Revised 09/09)

## **Resignation or Retirement**

### Senate Faculty

A faculty member may only resign or retire as of the end of an academic quarter (pay end date of October 31, February 28 or June 30). Faculty should strive to notify the department as far in advance as possible of the separation. It is preferable that the notification be done in writing, with the department providing a copy to the appropriate Dean's office and to Academic Personnel.

In cases of resignation, the separation information **should must** be entered into **the payroll system UCPATH by the department.** In cases of retirement of an Associate or full Professor, the faculty member attains emeriti status immediately upon retirement. The separation and rehire into emeriti status should be completed following the instructions in the Frequently Asked Questions, **Payroll Personnel System UCPATH** on the Academic Personnel website at <http://ap.ucsb.edu/>.

### All other academic employees

Academic year employees may only resign or retire as of the end of an academic quarter, using the appropriate pay period end dates dependent on the employee's 9/9 or 9/12 status. Fiscal year employees may resign or retire at any time. **The separation should be entered into the payroll system even if the appointment had a self terminating end date. The department is responsible for entering the termination of the job or the separation from the University into the payroll system.**

## **Death**

When a current academic employee or emeritus faculty member dies, the department should notify the appropriate offices in a timely manner following the procedures below. This insures proper dispersal of benefits to survivors and it enables agencies to keep their records up-to-date. It also allows the Chancellor to publicly recognize the individual's service to the campus, and in memory of service, the campus flag will be lowered.

Procedures:

1. Notify the Chancellor, Associate Vice Chancellor for Academic Personnel and the Vice Chancellor for Administrative Services and supply a brief biography which includes:
  - a. Full name, title, and department
  - b. Date of birth
  - c. Date of death
  - d. Name and address of next of kin
  - e. Length of service to the university
2. Notify the Benefits **and Compensation** Manager (ext. 2489).
3. **Enter the separation into the payroll system. The Academic Personnel Office UCPATH team will complete UCPATH input.**

VII-4  
**PROCEDURES FOR RECRUITMENT OF  
SENATE FACULTY AND OTHER PERMANENT ACADEMIC APPOINTMENTS**  
(Revised 10/17)

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 Labor Certification requirements are met should the eventual hire be a non-US citizen. If JobElephant is not used, the department should consult with 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. *Departments may reimburse candidates for interview travel and related expenses in accord with IRS regulations and University travel policies. Under exceptional circumstances, if funding is available, a candidate who has accepted an offer may be reimbursed for a single house hunting trip in accord with IRS regulations and University travel polices.*

### **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.

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

The following steps are to be taken by the Department:

**A. Recruiting**

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

**B. Processing Applications and Interviewing**

1. When an applicant pool does not contain sufficiently qualified people to fill a vacancy, it may become necessary to extend or reopen a search. The department is responsible for repeating the requisite steps as necessary.
2. Updates the applicant's status in UC Recruit.
3. Contacts prospective candidates and invites them to campus for an interview. Additionally, ensures that the proposed interview schedule is appropriate and that it is applied uniformly to all candidates. *Departments may reimburse candidates for interview travel and related expenses in accord with IRS regulations and University travel policies. Under exceptional circumstances, if funding is available, a candidate who has accepted an offer may be reimbursed for a single house hunting trip in accord with IRS regulations and University travel polices.*

**C. Equal Opportunity Hiring Proposal**

1. Once a potential hire has been identified, completes the sections labeled "Search Report" in UC Recruit.
2. Updates the applicant's status in UC Recruit and enters disposition reasons for applicants including those who were interviewed but were not selected for the position.

3. Generates Search Report in UC Recruit and submits for approval by the Chair, Dean, and Equal Opportunity & Discrimination Prevention.

VIII-9  
**PRESIDENT'S RESEARCH FELLOWSHIP IN THE HUMANITIES**  
(Revised 04/13)

The President's Research Fellowships in the Humanities provide opportunities for faculty to undertake projects that will enhance humanities research efforts at the University and make contributions to thought and knowledge. Further information and application forms are available at <http://uchri.org/funding/funding-overview-and-calendar/>

**Eligibility:** All active ladder faculty, including lecturers with Security of Employment, may apply. The Fellowships are intended for a range of full-time University faculty, including those who have already made significant contributions to scholarship and those who are beginning their careers. Faculty may hold a Fellowship once every five years. Assistant Professors will be given special consideration.

**Type of Support:** The maximum fellowship amount, to be used for salary only, is \$25,000. The total support package will be developed by the Executive Vice Chancellor, in consultation with the Dean of Humanities and Fine Arts. Typically, the fellowship, campus match, and exchange of sabbatical leave credits will total the faculty member's full-time salary during the award period. The faculty member must have accrued a minimum of six credits to receive the College matching contribution.

**Evaluation Criteria:** Applications will be evaluated on the following criteria:

1. The significance of the contribution that the proposed project will make to thought and knowledge in the applicant's field and to the Humanities general;
2. The clarity and cogency of the conception, definition, organization, and description of the proposed project;
3. The appropriateness of the proposed project goals, strategies, and timetable; and
4. The likelihood that the applicant will complete the project within a reasonable period (not necessarily within the Fellowship year).

**Administration:** The application and selection processes are administered by the Office of the President. Funding for the Fellowships is provided to the campus by the Office of the President.

**Compensation and leave requests:** Once awarded the Fellowship, the faculty member must submit a request, via the Department Chair, to the Dean confirming the intent to take the leave and the terms of the leave. The Department Chair should indicate endorsement of the leave and verify that course replacement issues have been dealt with.

The period of the Fellowship will be entered into **PPS as a Leave with Salary through the leave bundle UCPATH as a paid leave. All pay sources (Fellowship, exchange of sabbatical leave credits, College supplement) may be included on the same distribution line using the LWS dos code.**

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

**I. References:**

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

**II. Policy:**

- A. Background:

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

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



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

5. The gift instrument shall normally state that the fund administrator is given authority to add unexpended income to the original corpus.
  6. Procedure for obtaining approval for the establishment of an Endowed Chair is as follows: Recommendations shall be reviewed by the appropriate Dean and forwarded to the Executive Vice Chancellor who will consult with the Academic Senate Committee on Planning and Budget regarding the appropriateness of the proposed subject area. Based on the comments of the committee, the Executive Vice Chancellor will make a recommendation to the Chancellor as to the appropriateness of the Endowed Chair. Following Chancellor's approval, the request will be forwarded to the President for formal approval.
- D. Appointments:
1. Unless otherwise indicated in the gift agreement, the term of appointment to an endowed chair will be for an initial period of five years, with subsequent terms of five years each as long as the chair holder is fulfilling the original mission and expectations of the appointment. Appointment may be for a shorter period, but may not exceed five years without review as described in D.5 below. Appointment may also be made to a series of individuals appointed successively for prescribed periods.
  2. Appointment of an individual to an Endowed Chair shall be made by the Chancellor, in accordance with the normal academic review procedure for an academic appointment, including consultation with the department, college, and Committee on Academic Personnel. When a current UCSB faculty member is recommended for appointment to an Endowed Chair, the process may be modified as appropriate. For example, a department vote is not mandatory.
  3. In the case of an administrative endowed chair, the administrative officer is automatically designated as the chair holder.
  4. The level of appointment normally shall be equivalent to the top ranks of the professor series, but appointment at lower ranks is also possible if so stated in the gift agreement.
  5. Reappointment of an individual to an Endowed Chair may be approved by the Associate Vice Chancellor for Academic Personnel, upon favorable recommendation by the Department and endorsement by the Dean. The departmental recommendation will consist of a memo that evaluates the extent to which the chair holder is fulfilling the original mission and expectations of the appointment. While a faculty vote is not mandatory, departmental consultation must take place. Should the Department or Dean recommend termination of the appointment, CAP review will be required and the Chancellor will have final authority.
  6. Chairs that remain vacant for a consecutive period of five years will be subject to review by the Chancellor.
- E. Provisions:
1. Endowment income may be used to support salary, or a portion of the base salary if so stated in the gift agreement, however in most cases base salary will be provided through state funding of the faculty position. Income from the endowment may also be used for supplementary salary beyond the base salary, as determined by the fund administrator, consistent with the terms of the gift and campus and University policy and procedures.
  2. Endowment income made available to holders of endowed chairs shall be used to support teaching, research, and service activities of the chair holder, in accordance with the gift terms, University regulations and according to a budget recommended annually by the chair holder to the fund administrator. Consistent with the foregoing, and following consultation with the appropriate campus administrator, a chair holder may exercise the option of designating a portion of the endowment income from the chair for use towards the academic endeavors of the Department for a

prescribed period, within proper legal constraints.

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

#### F. Disestablishment of Chair

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

#### G. Reporting

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

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

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

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

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

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