

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 to be effective April 1, 2019. A summary of all changes is included below for your convenience. Changes reflect the following:

- Implementation of new systemwide policies for the Lecturer SOE series
- Updates to the Remedial Tutor policy to clarify use in established undergraduate tutor programs
- Updates to the disciplinary process for non-senate non-represented academic employees
- Technical and other minor changes and updates

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

### **Summary of Changes**

**I-29, II-24, II-25,** Change of name: Extension to Professional and Continuing Education  
**V-28, VI-10,**  
**VI-15, VI-17**

**I-35** Additional guidance regarding departmental letter of recommendation

**I-36** Acceleration guidelines updates

**I-44, I-70,** Technical corrections and updates  
**III-20, III-25,**  
**VI-8**

**IV-3** Time-line for submission of Associate appointments. Addition of list of documents to be submitted with request.

**IV-9** Updates to Remedial Tutor policy to clarify use in established undergraduate tutor programs.

**VII-1** Clarification of exception to open recruitment policy between similar series

**IX-20** Updates to use of peer ad hoc committees in non-senate disciplinary matters to be in line with APM.

Incorporation of system-wide APM Lecturer SOE series changes into campus policy and procedure

**I-4, I-11, I-12, I-13, I-26, I-27, I-30, I-33, I-37, I-38, I-39, I-40 I-41, I-42, I-43, I-46, I-50, I-56, I-75, VI-2, VI-7**

I-4  
**ELIGIBILITY, DEFERRAL AND MANDATORY REVIEW**  
(Revised 5/17)

## **I. Service Credit**

Six months or more of service in any one fiscal year normally count as one full year of service for merit eligibility. Less than six months of service in any one fiscal year does not count. The normal period of service prescribed for each salary level does not preclude more rapid advance in cases of exceptional merit nor does it preclude less rapid advance. Service as an Assistant Professor *or Lecturer with Potential SOE* (including time as an Acting or Visiting Assistant Professor) is limited to 8 years. Service at the Associate Professor/*Lecturer SOE* and Professor/*Sr. Lecturer SOE* levels is unlimited.

## **II. Extensions of the 8- year limit for Assistant Professors, Lecturers with Potential Security of Employment, or Assistant Researchers**

Under specific circumstances, an Assistant Professor, Lecturer with Potential Security of Employment, or Assistant Researcher may request an extension of the 8-year limit. An individual may have no more than two extensions during the probationary period and requests may not be made after the tenure/SOE/Associate Researcher review has begun. Request for extension are to be addressed to the Associate Vice Chancellor for Academic Personnel, via the appropriate Chair, Director and Dean or other control point. Extensions of the clock may be requested for the following reasons:

- a. **Childbearing or Childrearing:** A request may be made to allow the employee to care for any child who is, or becomes part of the employee's family. The employee must be responsible for 50 percent or more of the care of the child. The birth or placement of more than one child at a time constitutes a single event of birth or placement.
- b. **Serious Health Condition:** A request may made when the employee's ability to pursue his or her duties is significantly disrupted by a serious health condition or disability, by the need to care for a close family member who is seriously ill, or the death of a close family member. Supporting documentation must be provided with the request for extension.
- c. **Significant Circumstance or Event:** A request may be made when significant circumstances or events beyond the individual's control disrupt the individual's ability to pursue his or her duties. Examples include, the effects of a natural disaster or extraordinary delays in the provision of research resources committed to the individual which are necessary for his or her research activities. Supporting documentation must be provided with the request for extension.

When an extension of the tenure clock has been approved the individual should not be expected to have produced more or performed at a higher level than an individual who has not extended the tenure clock. The file is to be evaluated without prejudice as if the work were done in the normal period of service. Extension of the tenure clock does not delay eligibility for appraisal, merit, or promotion. However, the extension may be used as the basis of a request for deferral of any of these actions for a period equivalent to the extension.

## **III. Regular Ranks, Steps, Normal Periods of Service**

The Assistant Professor/*Lecturer PSOE* rank contains steps I-VI, although steps I and VI are not used at UCSB. The Associate Professor/*Lecturer SOE* rank contains steps I-V, although step V is not used at UCSB. The normal time of service at each step within the Assistant/*PSOE* and Associate/*SOE* rank is 2 years, except for service at the special steps of Assistant Professor/*Lecturer PSOE* V and Associate Professor/*Lecturer SOE* IV (Red Binder I-37). The Professor/*Sr. Lecturer SOE* rank contains steps I- IX as well as Above Scale. Normal service at steps I-IV is 3 years. Service at step V and above may be for an indefinite time: however, normal service is 3 years at steps V through VIII and 4 years at step IX or Above Scale. Eligibility for normal advancement occurs after the normal time of service at each step. If not advanced in rank or step at that time, the candidate will continue to be eligible for the same advancement in rank or step each year until the advancement in rank or step occurs. Further advancement within step will only be allowed when the normative number of years at step have passed. Normal periods of service in other academic series are described in the Red Binder

section covering the series.

#### **IV. Advancement Effective Dates**

The Office of Academic Personnel annually publishes promotion and merit eligibility lists for each department.

All merits and promotions will be effective July 1. It is possible, based on availability of funding, that payment for merits and promotions may be delayed. If this occurs, payment will be made retroactively at the time funds become available.

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

Senate faculty and appointees to the Research, Project Scientist, and Specialist series must undergo a performance review at least once every five years, including an evaluation of the individual's record in all review areas. This review may not be deferred. Most appointees in these series are reviewed for merit advance every two to four years, depending on rank and step. Appointees eligible for merit advancement or promotion may request deferral of review, so long as the time period since their last review is not more than four years. Non-submission of materials will not constitute automatic deferral. If an individual does not turn in materials by the departmental due date, the department will conduct the mandatory review based on the materials available in the department as of the due date.

Faculty holding 100% administrative positions in the SMG program or covered by APM 240 or APM 246 are exempt from mandatory five-year reviews since they face a separate review policy.

#### **VI. Deferral of Review**

Deferral of non-mandatory reviews will be automatic if a tenured Senate faculty member or appointee in the Research, Project Scientist, or Specialist series does not submit materials by the departmental due date, and no case is forwarded by the department by the established submission deadline.

Deferral requests made by Assistant Professors or Lecturers ~~Potential Security of Employment~~ **PSOE** must be accompanied by a letter of recommendation from the Chairperson that explains the reasons for the deferral and describes the progress that will be expected prior to the next review. Review for promotion to tenure or Security of Employment will normally take place by the end of the 6<sup>th</sup> year of service but may be deferred until the 7<sup>th</sup> year. The faculty member's deferral request along with the Chairperson's letter of recommendation must be submitted via AP Folio.

Deferral beyond the 7<sup>th</sup> year will not be considered. The Formal Appraisal review may not be deferred, except in cases of extension of the tenure clock.

**ACTING ASSISTANT PROFESSOR/LECTURER PSOE APPOINTMENTS**

(Revised 04/08)

**I. Procedure of Automatic Regularization**

At the time of initial appointment the department may request that a candidate who has not yet completed the Ph.D. dissertation be appointed as Acting Assistant Professor *or Acting Lecturer with Potential Security of Employment (PSOE)*, with automatic regularization to Assistant Professor *or Lecturer PSOE*, at the same salary rate, upon receipt of the Ph.D. by a specified expected date.

If automatic regularization is not requested at the time of the initial appointment, a completely new review is necessary when the title is changed to Assistant Professor *or Lecturer PSOE*.

When automatic regularization of an Acting Assistant Professor *or Acting Lecturer PSOE* has been approved in conjunction with the initial appointment, the Department Chair must provide the Office of Academic Personnel with a letter from the graduate dean of the institution conferring the Ph.D. which indicates the date that the appointee completed all formal degree requirements. If this date precedes the beginning of the service period for the next quarter the change in title will be effective at the beginning of that quarter.

**II. Procedure for Reappointment**

APM 235-17 states, "Each appointment as ~~Acting Instructor or~~ Acting Assistant Professor ~~(or equivalents)~~ *or Acting Lecturer PSOE* shall be for a specified term, not to exceed one year. The total period of service with these titles is limited to two years." If the Ph.D. is not received by Winter Quarter in the initial year, and a second year in that title is sought, the department must submit by March 1 a request for reappointment which includes an explanation of the candidate's failure to complete the dissertation and an assessment of the likelihood of completion.

The request is reviewed by the Dean with the Associate Vice Chancellor taking authority for the final decision. The normal expectation is that the Ph.D. shall be completed, and regularization takes place, during the first year of service. Reappointment as an Acting Assistant Professor *or Acting Lecturer PSOE* is not automatic.

If the candidate receives reappointment but does not finish the Ph.D. in the second year, the appointment is self-terminating. If the department wishes to rehire the candidate at a later date, it will be necessary to request retention of the FTE and to initiate an open search.

I-12  
POLICY ON TEACHING LOADS  
(Revised 03/06)

The campus has a small number of tenured *Associate or Full Professors* faculty who are inactive in research, but are competent teachers. Department Chairs may be asked by a Dean to assign teaching responsibilities significantly greater than the departmental average to particular individuals in this category. Faculty members not involved in research should carry higher teaching loads, as long as this practice does not result in students having less contact with scholars active in research. This practice should not be used to reduce average loads for researchers; research cannot substitute for normal teaching responsibilities. *Appointees in the Lecturer Security of Employment series are expected to carry a heavier teaching load than Professorial series appointees. The teaching load of a Lecturer SOE series appointee is expected to be lower than that of a temporary or continuing lecturer, in recognition of the additional responsibilities of a Lecturer SOE series appointee, including professional and/or scholarly achievement and activity, and University and public service.*

There is an opportunity for steady salary progression for an excellent teacher inactive in research through a transfer to the Lecturer ~~with Security of Employment~~ SOE series. When it is appropriate, the Deans, the CAP, the Associate Vice Chancellor, and the Executive Vice Chancellor will encourage transfer to this series. Where it is not appropriate, the only alternative presently available is to remain on the professorial ladder with a heavier teaching assignment. In implementing this policy, consideration can be given to unusual levels of University service or for professional activities directly beneficial to the University.

Additional teaching assignments for a research-inactive tenured *professorial series* faculty member are best initiated through informal agreement between the faculty member and the Department Chair. ~~They can also be an outcome of the normal academic review process, after recommendation by the appropriate Dean, the CAP, and approval by the Executive Vice Chancellor.~~

In implementing this policy it should be kept in mind that it is the Chair's responsibility to assign teaching responsibilities and to balance load equitably, taking into account supervision of graduate students and service to the department. This policy statement supports the Chair in encouraging adjustments to teaching loads for purposes of equity.

The proposed changes appropriate for faculty inactive in research should be discussed in advance with the Dean, as should any assignment involving a quarter or more without classroom teaching. ~~Finally, as discussed above, adjustment of a teaching load may be initiated in the course of a regular personnel review, and imposed by the Executive Vice Chancellor after reviewing recommendations from the Chair, Dean, and the CAP.~~

The above practices are not intended for those persons whose research goes slowly because of the difficulties of the field, or to those who are working productively but in an unfashionable area. It applies only to those faculty who are no longer devoting a reasonable portion of their energies to productive research, or to those whose accomplishments over an extended period of time are so minimal that it would appear to be a mistake for them to devote their energies to research.

I-13  
**RETENTION OF ACADEMIC FTE**  
(Revised 01/06)

All vacancies in *Senate* faculty FTE provisions resulting from death, resignation, retirement, *phased retirement*, transfer, or change in program, will be returned to the College's or School's Provision for Unallocated Academic Staff pending review of workload and program requirements. Please note that there are no exceptions to this procedure. In the case of a vacant FTE due to a terminal appointment of an Assistant Professor *or Lecturer PSOE*, the FTE will normally be retained by the department.

A request to retain FTE should be made during the annual call for departmental FTE plans, normally in the fall quarter. The department should base the justification for the retention of the provision on the following concerns:

- a. Specific program needs related to the provision under review, and a statement as to how these needs fit within the programmatic structure of the department as a whole.
- b. Review of departmental workload over the previous five years. Each entity may request the FTE retention data available from the Budget and Planning office. Workload considerations specific to the position under review, such as graduate student supervision and undergraduate advising, should also be noted.
- c. A statement specifying the appropriate level at which the position should be replaced. (Note that vacated ladder faculty positions normally revert to Assistant Professor II. Recommendations for replacement at any higher level require specific justification.)
- d. A statement of anticipated impact on the department should the request for retention of the position be denied.
- e. A statement of anticipated costs associated with the desired appointment -- start-up costs, space and space modifications, removal costs, etc.

In consultation with the Counsel on Planning and Budget, and the Deans of the Schools and Colleges, retention requests will be reviewed as part of the annual budget review and the annual allocation of faculty FTE provisions.

**LADDER RANK SENATE FACULTY ADVANCEMENT: PROCEDURAL SAFEGUARD STATEMENT**

(Revised 4/15)

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

**PRIOR TO DEPARTMENTAL REVIEW:**

1. I was informed that I was to be reviewed for this personnel action and of the process as described in APM 160, 210-1 and 220, and was informed of relevant deadlines for submission of materials.
2. I had the opportunity to ask questions, supply information and evidence, and add material to my file in preparation for the review.
3. I was informed whether or not letters of evaluation were to be sought as part of this personnel action.
4. If letters were sought (e.g., for promotion, review for advancement to Professor VI or Professor Above Scale)
  - A. I had an opportunity to suggest names of evaluators; and
  - B. I had the opportunity to submit, in writing, names of persons who, for reasons set forth by me, might not provide objective evaluations.
5. If an Academic Senate ad hoc committee is to be appointed, I was advised of my right to utilize any of the three options listed in Red Binder I-60. NOTE: If these options are utilized, they must be put in writing by the candidate and forwarded directly to the Vice Chancellor for Academic Personnel.

6. I was informed whether or not there were confidential documents (i.e. external letters, minority opinion reports) in my department review file and of my right to review a summary of any such documents.

Yes, there are confidential documents in my file (proceed to #7)

No, there are not any confidential documents in my file (proceed to #8)

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

A. Redacted copy

C. Chose not to receive contents

B. Oral Summary

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

**FOLLOWING THE DEPARTMENTAL REVIEW PROCESS:**

10. I was informed of the departmental recommendation and the substance of the evaluation under each of the applicable review criteria.



A. Copy of Departmental Recommendation

B. Oral Summary

C. Chose not to be informed

11. I was informed whether or not the department vote for the recommendation was unanimous or by a strong or a narrow majority.
12. I was informed of my right to make written comments, within 5 working days, to the Chair (or appropriate person) regarding the departmental recommendation. I was aware that these comments would be included in the file and made available to other voting faculty in the department.
13. I was informed of my right to make written comments regarding the departmental recommendation to the Dean and that these comments would be included in the file and available to other reviewing agencies outside of the Department.

**I HAVE SUBMITTED THE FOLLOWING ADDITIONAL MATERIALS:**

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

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

A written request concerning formation of a Senate ad hoc committee to the Associate Vice Chancellor for Academic Personnel (in accordance with 5 above).

A written statement in response to materials in the file (in accordance with 9 above).

A written statement about the departmental recommendation to the chair (in accordance with 12 above).

A written statement about the recommendation to the dean in accordance with 13 above.

**REVIEWING AGENCY REPORTS**

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

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

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

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

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

(Revised 10/17)

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

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

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

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

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

**Short Curriculum Vitae**

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

**Research and creative activity**

*Appointees to the Lecturer SOE series will typically use a single section titled Professional and/or Scholarly achievement and Activity rather than two separate sections titled Research and Professional Activity.*

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

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

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

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

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

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

\* for items previously listed as Work In Press

\*\* for items previously listed as Work Submitted

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

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

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

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

#### Teaching (For Senate Faculty only)

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

A line may be drawn or footnotes added to indicate the transition from hard-copy to on-line course evaluations.

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

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

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

#### Professional Activity

*Appointees to the Lecturer SOE series will typically use a single section titled Professional and/or Scholarly achievement and Activity rather than two separate sections titled Research and Professional Activity*

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

#### University and Public Service

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



**CONFLICT OF COMMITMENT AND OUTSIDE PROFESSIONAL ACTIVITIES**

(Revised 9/18)

**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 are subject to APM 025:

- 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~~ *Professional and Continuing Education*.
- 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 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.

I-30  
**DEAN'S AUTHORITY MERIT REVIEWS**  
(Revised 1/18)

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

Assistant Professor and Lecturer PSOE:

Advances from Step II to III, and III to IV

Associate Professor and Lecturer SOE:

Advances from Step I to II and II to III

Professor and Sr. Lecturer SOE:

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

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

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

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

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

I-33  
**EXPANDED REVIEWS**  
(Revised 1/18)

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

Formal Appraisal

Terminal Appointments

Promotion to Associate Professor or Lecturer SOE

Promotion to Professor or Sr. Lecturer SOE

Merit to a special step

Merit to Professor/*Lecturer SOE* Step VI

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

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

Reduction in off-scale supplement

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

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



**HOW TO WRITE A DEPARTMENTAL LETTER****Appointments and Advancements**

(Revised 11/15)

Accurate and analytical letters of recommendation from the department are essential in the review process. The candidate and his/her department must make the case; other reviewing agencies cannot do so. The analysis should be extensive, and for promotions, merits to step VI and to Above Scale the analysis should cover the cumulative record of the candidate. In cases where acceleration is recommended, explicit justification must be given for the recommendation. In any case, the letter should clarify which of the candidate's accomplishments precede the last review and which follow.

Personnel reviews that have been deferred due to a family accommodation (i.e. childbearing or parental leave, extension of the tenure clock) should be evaluated without prejudice as if the work were done in the normal period of service. The departmental letter should clearly state that the standard expectations are being applied.

The departmental letter should provide a summary of both the positive and negative aspects of the case. Direct quotes from faculty ballots or from the departmental discussion should be avoided. The analysis overall should strive for balance. It should identify criticisms and reservations, especially when there is significant opposition to the recommendation. It should, if indicated, include an assessment of the significance of particular extramural views or judgments. In the case of a negative departmental recommendation, the basis of the recommendation should be documented as well.

Individuals who have provided confidential letters of evaluation should not be identified, except by means of a coded list (e.g., "Reviewer A"). Note that in career reviews (promotions and advancement to step VI or Above Scale), the department letter should provide an overview of career accomplishment as well as the achievements of the most recent review period.

The letter should provide a comprehensive assessment of the candidate's qualifications together with detailed evidence to support this evaluation. The 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 (e.g. external letters, bio-bib) 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.

Teaching, research, professional and public service contributions that promote diversity and equal opportunity are to be encouraged and given due recognition in the evaluation of the candidate's record. Contributions to diversity and equal opportunity may include effort to advance equitable access to education, public service that addresses the needs of diverse populations, or research in a scholar's area of expertise that highlights inequalities. Mentoring and advising of students and faculty members, particularly from underrepresented and underserved populations, should also be given due recognition.

Suggested format for letters of recommendation

1. Brief outline of the mechanisms used for soliciting information and evaluating the academic performance of colleagues in cases of merits, promotions, and so forth (e.g., departmental use of ad hoc committees, teaching evaluation committees, departmental meetings to assess candidates, etc.). Explanation of any apparent anomalies in the voting, e.g., a disproportionately small number of votes relative to departmental size, or excessive abstentions should also be explained.
2. The basis for the departmental recommendation, including analytical evaluation of the performance in **each area of review appropriate to the academic series.**

A) Research

*Appointees to the Lecturer SOE series will be evaluated using a single category of Professional and/or*

Scholarly achievement and Activity rather than two separate categories of Research and Professional Activity.

Present a full evaluation of candidate's research record, indicating the significance of the research accomplishments.

The departmental letter should present the publication record for the current review period according to the following format: [A] Published work; [B] Work in press; [C] Work submitted.

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.

B) Teaching

*The department letter should include a statement of the normative teaching load and how the candidate's obligation was met for the review period.*

*The letter 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.

The letter should include an evaluation of the candidate's teaching performance, including an analytical evaluation of the ESCI scores and indicating the significance of the record. The letter should clearly indicate which courses were evaluated on-line and should take into consideration the possible impact of the change in methodology from paper to on-line evaluation. The analysis should include information on the number of graduate committees (MA and Ph.D. as reflected in the bio-bibliography).

C. Professional Activity

Appointees to the Lecturer SOE series will be evaluated using a single category of Professional and/or Scholarly achievement and Activity rather than two separate categories of Research and Professional Activity.

The departmental letter should include a full analysis of the candidate's performance, indicating the most prominent features of the record. The significance of honors, awards and extramural grants should be described. If a contract or grant is listed as "continuing", detail of any changes in the funding should be provided. *When the candidate is listed as co-PI, the departmental letter should clarify the candidate's share of the grant money and role in the project.*

D. University and Public Service

The letter should include a full analysis of candidate's involvement, indicating the significance of the record and the quality of the service.

3. Summary

This section is optional, and may be used to summarize the most significant accomplishment of the review period, and to provide an explicit justification for acceleration or other special action.

In cases of appraisal, departments may make one of the following three recommendations: a) Continued Candidacy: indicating an assessment that the candidate is likely to eventually qualify for promotion to tenure rank. B) Continued Candidacy with Reservations: indicating an assessment that there is an identified weakness in the record that appears to require correction in order for the individual to eventually qualify for promotion to tenure rank. C) Terminal appointment. In addition, the letter must also include an evaluation of the performance as progress toward eventual tenure.

#### Chair's Separate Confidential Letter

While this option is not often used, the Chair may, in accordance with APM 220-80e, submit a separate letter indicating his/her own analysis and recommendation. This letter is not made available to other members of the faculty in the department. It should be noted that a Chair's separate letter is designed to be evaluative of the evidence available to the department; new evidence can be considered on the rare occasions when it could not be appropriately shared with the department. A Chair's confidential letter may also be used to address unresolved issues between majority and minority opinions related to a case, or to address a candidate's comments in response to the departmental review. When a Chair submits a confidential "Chair's separate letter", it should be clearly identified as such, and will become part of the personnel review file. The status of such a letter is considered to be non-departmental (as is a letter from a dean). It is not submitted to an ad hoc review committee when one is convened. As a "confidential academic review record" (as defined in APM 160-20-b), a Chair's letter will be made available to the candidate upon request along with other review agency reports at the end of the review process.

I-36  
**ACCELERATIONS**  
(Revised 08/07)

Departments should not hesitate to propose accelerated advancement to reward cases of superior performance where there is clear justification. Acceleration can occur during an on-time review, ~~but~~ *or through* early advancement to the next step or rank ~~is the most appropriate form of acceleration~~. For on-time reviews, an adjustment in salary (~~the addition of an off-scale supplement or~~ an increase in an existing *off-scale* supplement) may be proposed when the appropriate reward does not correspond to early advancement in step. Response to “market pressures,” as evidenced by competitive outside offers in the context of a retention case, would typically be addressed via increase in the off-scale salary supplement, as described in Red Binder I-8, and not necessarily by advancement in step.

*In formulating justification for larger-than-normal advancements, the department and reviewing agencies must first provide evidence that the candidate has met the requirements for a normal, one-step advancement prior to addressing any recommendation for acceleration. The record must include evidence of superior performance beyond the requirements for the one-step advancement, with no significant deficiencies in the record. To this end, Departments should review faculty performing at a superior level in advance of their normal eligibility for merit increase or promotion. Evidence of superior performance compared to faculty at similar rank and step will depend on the field, but may consist of: The following are examples of possible evidence of superior performance:*

1. A substantial increase in creative activities (such as research publication, exhibitions, or performance), with particular emphasis on creative activities in significant venues that would have an impact beyond normal expectations.
2. Prestigious new awards or other such evidence of peer recognition for the impact of past creative work *or teaching.*
3. Extraordinary achievements in two or more areas of review, coupled with excellent performance in the other areas.

Acceleration at the time of a merit review must be based on activity during the period since the last review. Acceleration at the time of a career review may be based on the cumulative record.

As with any on time advancement, the individual’s next eligible date for advancement will be based on the effective date of the accelerated advancement if an advancement in step occurs. The next eligible date will not normally be affected by an increase in off-scale supplement with no change in step.

**"SPECIAL" OR "OVERLAPPING" STEPS**

(Revised 04/09)

Step V of the Assistant Professorship/*Lecturer PSOE rank* and Step IV of the Associate Professorship/*Lecturer SOE rank* are "special" steps in the ladder series -- "special" in the sense that these steps may be utilized for advancement when a member of the ladder faculty shows evidence of work that is likely to lead to promotion in the near future when completed, but whose established record of accomplishment has not yet attained sufficient strength to warrant promotion. In addition, the use of the special step of Assistant Professor V is appropriate for individuals who have accumulated a significant research record, but have not yet established an equivalent teaching record that would merit consideration for tenure. Service at the special steps is in lieu of service at the first step of the next rank.

Once advanced to a special step, the normal progression is for promotion to the next rank. Upon advancement to a special step, the faculty member is eligible for review for promotion each year until promoted. If promoted earlier than the normative time at step (two years at Assistant *Professor/Lecturer PSOE V* and three years at Associate *Professor/Lecturer SOE IV*), promotion should be lateral and eligibility for future merit will be determined based on the combination of years at the special step and years at Step I at the higher rank. If promoted at the normative time at step, the "on-time" advancement will be to Step II of the higher rank. The appropriate level of advancement in the case of promotion after more than the normative time at step will be dependent on the strength of the case and should not be determined simply based on time served at the special step.

Further advancement within the special step will not occur at less than the normative time at step (two years at Assistant *Professor/Lecturer PSOE V* and three years at Associate *Professor/Lecturer SOE IV*) and will require evidence that promotion is likely to occur with the next review.

I-38  
**FORMAL APPRAISAL**  
(Revised 11/16)

Formal appraisals are made "in order to arrive at preliminary assessments of the prospects of candidates for eventual promotion to tenure rank as well as to identify appointees whose records of performance and achievement are below the level of excellence desired for continued membership in the faculty" (APM 220-83). *For Lecturers in the SOE series, "security of employment" is substituted for "tenure."*

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

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

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

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

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

Prior to a formal appraisal the Chair should inform the candidate of the criteria for advancement and the nature of the review process as set forth in APM 210-1 d and APM 220 *or 285*. This step would reasonably include a discussion of the relative value given to books versus journal articles, etc., the importance of research vis-à-vis teaching or University service, and the relative merits of long- and short-term research goals. The structure of the review process, including the responsibilities of various reviewing agencies, should also be explained fully. The candidate should be told that a formal appraisal can not result in a promise of eventual tenure. A final decision for Continued Candidacy, based as it is on an early sample of the record an Assistant Professor/*Lecturer PSOE* will present when later considered for tenure, is only a tentative prognosis. Promotion to tenure rank will require greater accomplishment in all review areas and receives a more extensive review that includes solicitation of extramural letters as well as the convening of an ad hoc review committee.

In all formal appraisal reviews the candidate will receive redacted copies of all reviewing agency reports. A decision for a Terminal Appointment shall be made only in accordance with APM 220-84 *or APM 285-17*.

**ASSISTANT PROFESSOR ~~REVIEWS/LECTURER PSOE~~**  
**TERMINAL APPOINTMENTS**  
**AND DECISIONS TO DENY PROMOTION**  
(Revised ~~10/11~~)

A proposal not to reappoint an Assistant Professor/~~Lecturer PSOE~~ may originate with the Department Chairperson as a result of departmental review during the consideration of reappointment. In this event, the case shall be reviewed in accordance with the provisions of APM 220-82 and 220-84.

In any case in which non-reappointment of an Assistant Professor/~~Lecturer PSOE~~ is considered, there shall be review by the Committee on Academic Personnel. An ad hoc committee shall be appointed if the Chancellor or the Committee on Academic Personnel requests it.

During a review of a reappointment, a formal appraisal, or a promotion of an Assistant Professor (or other appointee of equivalent rank), if the Chancellor 's (or designee's) preliminary assessment is to make a terminal appointment or to deny promotion the Department Chair and the candidate shall be notified of this in writing by the Chancellor (or designee). The candidate also shall be notified of the opportunity to request access to the records placed in the personnel review file subsequent to the departmental review in accordance with APM - 160-20 c. When the candidate is provided copies of such records, copies shall also be provided to the Department Chair. Copies of such records will also be provided to the Dean if the materials are used or referred to in the response of the candidate or Chair. The candidate and the Chair, after appropriate consultation within the department, shall then have the opportunity to respond in writing and to provide additional information and documentation. The candidate may respond either through the Department Chair or directly to the Chancellor (or designee). This response must be submitted within 10 working days of the date the candidate receives the reviewing agency reports. The personnel review file, as augmented by the added material, shall then be considered in any stage of the review process as designated by the Chancellor (or designee) before a final decision by the Chancellor is reached. The Chancellor's final decision to make a terminal appointment or to deny promotion requires the appropriate preliminary assessment notification process and opportunity to respond being provided to the candidate as specified herein.

In accordance with APM 220-80 i after the final decision, the candidate may request a copy of non-confidential documents and a redacted copy of confidential documents. Such requests should be made to the Associate Vice Chancellor for Academic Personnel.

The above notification procedure provides the opportunity for reconsideration and possible reversal of the preliminary assessment for a terminal appointment or denial of promotion. For this reason, reconsideration of a terminal appointment or denial of promotion will only take place when there is substantial evidence of significant improvement in the faculty member's record of scholarly achievement, particularly with respect to those elements of the record that have been previously identified as areas of weakness. When these conditions are met, a request for reconsideration of a terminal appointment or denial of promotion, justified by a brief review of the new evidence that supports the request, may be submitted by the department, to the Dean of the College/School/Division. If permission is granted by the Dean, the case may be re-submitted for reconsideration; however this will not extend the terminal appointment end-date. Any such request may include information only through September 15 of the eighth year of service and must be submitted to the Deans office by the second Monday in November.

PROMOTION TO TENURE **OR SECURITY OF EMPLOYMENT**

(Revised 08/07)

The principal criterion for promotion to tenure *in the Professorial series* is succinctly stated in the following passage from APM 210-1 d:

Superior intellectual attainment, as evidenced both in teaching and in research or other creative achievement, is an indispensable qualification for appointment or promotion to tenure positions.

The other criteria for review, namely professional activity and University service, must be given due consideration, but they can never be considered sufficient in and of themselves to justify promotion to tenure. Superior intellectual attainment in teaching and in research or other creative achievement as noted above are **is** essential for promotion to tenure **or security of employment**.

*The principal criterion for promotion to security of employment in the Lecturer SOE series is stated in the APM 210-3 c:*

*Promotion to the Lecturer with Security of Employment title requires clear documentation of consistent and sustained excellence in effective teaching. Superior intellectual attainment, as evidenced particularly in excellent teaching and secondarily in professional and/or scholarly achievement and activity, is an indispensable qualification for appointment or promotion to security of employment.*

*Professional and/or scholarly achievement and University service must be given due consideration, but the can never be considered sufficient in and of themselves to justify promotion to tenure. Superior intellectual attainment in teaching is essential for promotion to security of employment.*

In attempting to make the phrase "superior intellectual attainment" operational, it is to be recognized that a particular intellectual discipline or subject-area (in the case of interdisciplinary programs), as represented in a local department or program together with the larger national and/or international context of the discipline or area, provides the most informed evaluation of outstanding or superior performance. The most useful critical assessment of "superior intellectual attainment" in research or other creative achievement must come primarily from those who are established figures in the field, primarily from colleagues in the department as well as faculty in comparable departments and programs nationally and internationally. (In this connection, departments may wish to provide an operational interpretation of the phrase "superior intellectual attainment" which they consider appropriate to the particular discipline or subject-area). Candid, thorough, documented and concise assessment on this level is clearly essential if reviewing agencies are to perform their proper analytical and evaluative task. Furthermore, it is essential that a candidate's performance be measured by the highest standards of excellence that are currently recognized by a given intellectual discipline or subject-area.

The most useful critical assessment of "superior intellectual attainment" in teaching must come primarily from those familiar with the methods and approaches in teaching that are appropriate in a given candidate's area of expertise. In many instances, the assessment of a candidate's performance in teaching is most satisfactorily carried out and documented by the Chairperson of the department in consultation with other faculty departmental colleagues, utilizing course evaluations, peer evaluation, intramural letters or analyses from undergraduate majors and graduate students in a department, extramural letters from former students, reports of colleagues concerning a candidate's performance in public lecture contexts, seminar discussions, and so forth, and documentation of new substantive developments in the field or new and effective techniques of instruction. In a few instances, Further evidence of teaching performance may be obtained from extramural assessments, based on analyses of a candidate's performance in seminars or panels at national or regional professional meetings. Again, it is essential that a candidate's performance be measured by the highest standards of excellence that are currently recognized by a given intellectual discipline or subject-area in the area of teaching.



It must also be stressed that the department's responsibility in the matter of promotion to **tenure or security of employment** begins long before the final assessment and recommendation. This is to say, in the normal course of events, a working environment that provides opportunity for developing a high quality program of research and teaching should be cultivated by the department. In addition, the teaching assignments of junior faculty should provide opportunity for a candidate to demonstrate how his or her expertise will contribute in significant ways to the department's graduate and undergraduate educational programs. It is also the department's responsibility to apprise junior faculty early (and regularly) of the standards for qualification for tenure **or security of employment** and the bases for assessment.

When the time arrives for final evaluation for promotion to tenure **or security of employment**, it should be remembered that the recommendation should be based primarily on academic grounds as have been specified above. Such matters as resource limitations should not be at issue in making such a recommendation. If, after rigorous review (department and extramural), significant and credible doubts about a candidate's academic performance persist, then a candidate should not be recommended for promotion to tenure.

In view of this policy which stresses the highest standards of intellectual excellence that can be attained only by candidates of unquestioned ability, an important corollary should be set forth. If, after careful academic review, a department should choose not to recommend a candidate for promotion to tenure; and if that recommendation is sustained, the FTE vacated because of the termination will normally be retained by the department.

Promotion to tenure **or security of employment** review will normally take place by the end of the 6<sup>th</sup> year of service or after two years of service at Assistant Professor/*Lecturer PSOE IV*. The review may occur sooner if justified by the record. The review may also be deferred into the 7<sup>th</sup> year. Deferral beyond the 7<sup>th</sup> year will not be considered.

**PROMOTION TO PROFESSOR OR SENIOR LECTURER SOE**

(Revised 08/12)

Promotion to Professor requires an accomplished record of research that is judged to be excellent within the larger discipline or field. Superior intellectual attainment, as evidenced both in teaching and in research or other creative achievement, is an indispensable qualification for advancement to Professor. Sustained excellence in *all four areas of review; research or other creative activity, teaching, the areas of* University and public service as well as professional activity is expected for promotion to the Professor rank.

*Promotion to Senior Lecturer SOE requires sustained excellence in effective teaching and demonstrated distinction in the special competencies appropriate to teaching in the particular subject. Sustained excellence in all three areas of review, teaching, professional and/or scholarly achievement and activity, and University and public service is expected for promotion to the Senior Lecturer SOE rank.*

**Promotion** ~~This~~ is a career review and therefore is based on a review of the individual's entire academic career.

**MERIT TO PROFESSOR *OR SENIOR LECTURER SOE* STEP VI**

(Revised ~~08/12~~)

Advancement to Professor VI is based on evidence of sustained and continuing excellence in each of the following categories: (1) scholarship or creative achievement, (2) University teaching, and (3) University and public service, and (4) professional activity. In addition, great distinction, recognized nationally or internationally in scholarly or creative achievement or in teaching is required for merit to Professor VI.

*Advancement to Senior Lecturer SOE VI is based on evidence of sustained and continued excellence in each of the three review categories with teaching excellence receiving primary consideration: (1) teaching and teaching related responsibilities, (2) professional and/or scholarly achievement and activity; and (3) University and public service.*

*Advancement to Step VI* This is a career review and therefore is based on a review of the individual's entire academic career.

**MERIT TO, OR WITHIN, PROFESSOR OR SENIOR LECTURER SOE ABOVE SCALE**

(Revised 5/16)

Advancement to Professor Above Scale is reserved for scholars and teachers of the highest distinction (1) whose work of sustained and continuing excellence has attained national and international recognition (2) whose University teaching performance is excellent, and (3) whose University and public service is highly meritorious, and (4) whose professional activity is judged to be excellent.

*Advancement to Sr. Lecturer SOE Above Scale is reserved for teachers of the highest distinction (1) whose contributions to University teaching and education outcomes are excellent; (2) whose work of sustained and continuing excellence has attained national or international recognition and broad acclaim reflective of its significant impact on education within the discipline; and (3) whose service is highly meritorious.*

Advancement to Professor Above Scale will normally occur after at least four years of service at Professor step IX with the individual's complete academic career being reviewed.

*Normal, on-time advancement requires continued performance at levels commensurate with the expectations for an Above-Scale faculty member in all areas of review and A merit increase for a candidate already serving at an Above Scale salary level must be justified by new evidence of merit and distinction appropriate to this highest level of the professorship rank. Continued good service is not an adequate justification.*

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

*Faculty Professorial appointees* who have attained Above Scale status may use the title "Distinguished Professor" as an honorary title. *Sr. Lecturer SOE appointees who have attained Above Scale status may use the title "Distinguished Teaching Professor" as an honorary title.* Because these titles are honorific, they may not be used on legal documents such as contract and grant applications that require an official employment title. The title may be used for such purposes as correspondence, CV, or website listings. Faculty who retire at Above Scale status may use the title Distinguished Professor *or Distinguished Teaching Professor* emeritus/a.

I-44  
**RETENTIONS**  
(Revised 04/13)

Although not automatic, it is campus practice to match an outside offer made by an equivalent or higher quality institution, contingent upon the usual review process. Request for salary increases based on retention will be awarded through increase in off-scale salary rather than an increase in rank or step. A retention may, however be coupled with a merit or promotion recommendation that is based on the individual's accomplishments and record. Retention requests are processed through the regular personnel review system, including review by the Dean and CAP, with final approval resting with the Associate Vice Chancellor for Academic Personnel or the Chancellor (RB I-433 for approval authority). Retention cases that involve an increase in off-scale salary only may be processed at any time and are not subject to the standard case submission deadlines. Cases coupled with a merit or promotion will be subject to the standard deadlines unless an exception is requested and approved by the Associate Vice Chancellor. Salary increases associated with retentions will be effective July 1. Note that recommendations related to individuals being recruited by other UC campuses must abide by APM limitations on intercampus recruitment (APM 510).

Required documents;

Copy of external offer. A formal offer is preferable, however it is recognized that other institutions, particularly in industry or foreign countries may recruit without providing a "formal" offer at a time that would allow UC to try to retain the individual. If it is not possible to provide a copy of a formal offer, the department should clarify and explain the information provided in the informal offer, specifically whether a formal offer has been or is about to be made and who is making the offer.

Updated CV or bio-bibliography. While this is not mandatory, and may not be possible to submit in highly time-sensitive retentions, it is preferable to include an updated CV or bio-bib with the request. This allows reviewing agencies to see the level of productivity and activity up to the current date and can provide additional support to the department's request to retain the individual.

While a safeguard statement is not required for retentions (increase in off-scale only), the department is still required to provide the candidate with access to the departmental letter, and copies of reviewing agency reports may be requested by the candidate at the end of the review.

Departmental letter of recommendation. A departmental vote is required for any salary action, including an increase in off-scale in response to an outside offer. The departmental letter should provide information about the quality of the offer including the standing of the institution or department within the institution making the offer. If the salary being offered is on a different basis (i.e. fiscal year vs. academic year) or in foreign currency, the department should provide justification for its recommended "match" in salary. Fiscal year salaries are converted to Academic year salaries using a factor of 1.16.

I-46  
**GUIDELINES FOR LETTERS OF EVALUATION**  
(Revised 10/17)

### **I. Solicited letters**

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

### **II. Unsolicited letters**

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

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

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

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

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

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

### **IV. Letters for tenured appointments and career advancements**

Letters should come from tenured faculty at distinguished institutions, preferably from full professors. Letters from UC familiar reviewers, are necessary for all tenured and SOE appointments, promotions and career reviews. Letters from UC familiar writers are essential for appointment/advancement to Professor step VI and Professor-Above Scale, preferably from faculty already at these senior ranks.

Departments should strive to include at least two UC familiar letters for cases in which such letters are required. At least half of the letters submitted with the case should come from references chosen by the Chair in consultation with the department but independent of the candidate. The letters solicited by the department should come from scholars who have not been closely associated with the candidate as collaborators in research, or as teachers,

colleagues, or personal friends. A minimum of six analytic letters is required. Typically, more than six letters will have to be solicited in order to achieve this minimum.

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

3. *Lecturer SOE series: In the Lecturer SOE series letters from UCSB Senate faculty, external to the department, who have conducted a peer review of the candidate's teaching may be used as no more than two of the letters of evaluation. Such letters are subject to the same redaction and confidentiality policies as extramural letters. These letters may not be substituted for the UC familiar letters, which are expected to be external to UCSB. Letters of evaluation may come from UCSB Senate faculty, external to the department, who have conducted a peer review of the candidate's teaching. Peer evaluation may include classroom visits or videotaping, commentary on course syllabi, reading assignments, and examinations. Such letters may not be substituted for the UC familiar letters, which are expected to be external to UCSB and are subject to the same redaction and confidentiality policies as extramural letters.*

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

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

## V. List of evaluators

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

## VI. Additional Information

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

If electronic mail is used to solicit or receive letters of recommendation the sample letter format must be followed, and a printed copy must be retained. Redaction of electronic responses should eliminate all headers and footers that

would identify the sender. If the response is sent as an e-mail attachment, the e-mail and the attachment must both be included in the case, both properly redacted.

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

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

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



I-49  
**SAMPLE LETTER FOR SOLICITATION  
OF EXTRAMURAL EVALUATION**  
(Revised 02/10)

Current Date

Name  
Department  
University

Dear Dr. \_\_\_\_\_,

[Opening remarks: e.g., I am writing to ask for your assistance in an important matter.]

**INSERT APPROPRIATE PARAGRAPH FROM SAMPLES THAT FOLLOW:**

- A. Appointment to Assistant Professor
- B. Appointment or Promotion to Associate Professor
- C. Appointment to Professor I-V
- D. Promotion to Professor
- E. Appointment at Professor VI- IX
- F. Merit to Professor VI
- G. Appointment or Merit to Professor Above Scale
- H. Thank You Letter for Unsolicited Comments
- I. Restricted Materials (Non-UC Placement Files)
- J. Appointment to Lecturer PSOE
- K. Appointment or Promotion to Lecturer SOE
- L. Appointment or Promotion to Sr. Lecturer SOE
- M. Continuing Lecturer Excellence review
- N. Continuing Lecturer promotion to Sr. Lecturer
- O. To Letter Writers from a Prior Review for Amendment or New Letter

[Sample wording for evaluation request: e.g. I would greatly appreciate your evaluation of \_\_\_\_\_'s work.] While you may not be familiar with all aspects of the record, we appreciate your comments related to those areas with which you are familiar. Please also indicate whether or not you would support the recommended action based on your knowledge of \_\_\_\_\_ and his/her record.

Although the contents of your letter may be passed on to the candidate at prescribed stages of the review process, your identity will be held in confidence *to the extent possible*. The material made available will lack the letterhead, the signature block, and *relational information* material below the latter. Therefore, material that would identify you, particularly your relationship to the candidate, should be placed below the signature block. In any legal proceeding or other situation in which the source of confidential information is sought, the University does its utmost to protect the identity of such sources.

[Closing remarks: e.g., I realize what an imposition on your time these requests are. I want to thank you in advance for your willingness to assist in this matter.]

Sincerely,

Department Chair

**WORDING FOR SOLICITATION LETTERS BY PROPOSED ACTION**

(Revised 5/16)

**Professor series****A. Appointment to Assistant Professor**

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

**B. Appointment or Promotion to Associate Professor**

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

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

**C. Appointment to Professor I-V**

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

**D. Promotion to Professor**

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

**E. Appointment at Professor VI- IX**

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

#### F. Merit to Professor VI

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

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

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

#### Lecturer SOE series

#### H. Appointment to Lecturer PSOE

\_\_\_\_\_ is being considered for an appointment as a Lecturer with Potential Security of Employment (PSOE) in the Department of \_\_\_\_\_. Appointment to Lecturer PSOE with Potential Security of Employment within the UC System requires clear evidence of potential excellence in teaching and promise of *productive and creative contributions to professional and/or scholarly activity that would support excellent teaching, future growth.* Research and creative activity, although not required for Lecturer with Potential Security of Employment positions, is also reviewed when available.

#### I. Appointment or promotion to Lecturer SOE

\_\_\_\_\_ is being considered for (an appointment as/ promotion to) Lecturer with Security of Employment (SOE) in the Department of \_\_\_\_\_. Appointment (or promotion) to Lecturer SOE with Security of Employment within the UC System requires clear evidence of consistent and sustained teaching ability of exceptional quality, and promise of future growth. Research and creative activity, although not required for Lecturer with Security of Employment positions, is also reviewed when available. *includes assessment of the record of performance in (a) teaching, (b) professional and/or scholarly activity, and (c) University and public service. Consistent and sustained excellence in teaching is an indispensable qualification for appointment (promotion) to Lecturer SOE and is the primary factor for evaluation.*

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

#### J. Appointment or promotion to Sr. Lecturer SOE

\_\_\_\_\_ is being considered for (an appointment as/ promotion to) Sr. Lecturer with Security of Employment (SOE) in the Department of \_\_\_\_\_. Appointment/promotion to Senior Lecturer with Security of Employment within the UC System *requires includes assessment of the record of performance in (a) teaching, (b) professional*

and/or scholarly activity, and (c) University and public service. Consistent and sustained excellence in effective teaching and demonstrated distinction in the special competencies appropriate to teaching the particular subject are indispensable qualification for appointment (promotion) to Sr. Lecturer SOE and are the primary factors for evaluation.

teaching ability of exceptional quality and evidence demonstrated, in terms appropriate to this type of appointment, that the candidate has reached the level of professional achievement required of a professor. Research and creative activity, although not required for Senior Lecturer with Security of Employment positions, is also reviewed when available.

#### K. Merit to Sr. Lecturer SOE VI

\_\_\_\_\_ is being considered for advancement to Sr. Lecturer with Security of Employment (SOE) [specify step] in the Department of \_\_\_\_\_. In the University of California, there are nine steps within the rank of Sr. Lecturer SOE. The normal period of service is three years in each of the first five steps. Service at Sr. Lecturer SOE, Step V, may be of indefinite duration. Advancement to Step VI, or higher, involves an evaluation of the candidate's entire career and calls for evidence of sustained and continuing excellence in each of the following categories: (a) teaching, (b) professional and/or scholarly activity, and (c) University and public service. Consistent and sustained excellence in effective teaching and demonstrated distinction in the special competencies appropriate to teaching the particular subject are indispensable qualification for advancement to Sr. Lecturer VI.

#### L. Appointment or Merit to Sr. Lecturer SOE Above Scale

\_\_\_\_\_ is being considered for (an appointment as/ advancement to) Distinguished Teaching Professor (Sr. Lecturer with Security of employment (SOE) Above Scale) in the Department of \_\_\_\_\_. In the University of California, there are nine steps within the rank of Sr. Lecturer SOE (steps I-IX). Steps VI, VII, VIII, and IX are reserved for highly distinguished teachers. There is one further rank beyond Step IX, Distinguished Teaching Professor. Distinguished Teaching Professor is the highest rank attainable by an appointee to the Lecturer SOE series in the University of California system. (Appointment/advancement) to an Above Scale salary is reserved for the most highly distinguished faculty (a) whose contributions to University teaching and education outcomes are excellent; (b) whose work of sustained and continuing excellence has attained national or international recognition and broad acclaim reflective of its significant impact on education within the discipline; and (c) whose service is highly meritorious

#### Continuing Lecturers

##### M. Continuing Lecturer Excellence review

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

##### N. Continuing Lecturer promotion to Sr. Lecturer

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

**All series**

**H O.** Sample Thank You Letter for Unsolicited Comments

Use the sample letter, modifying as follows:

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

[Confidentiality paragraph]

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

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

Use the sample letter, modifying as follows:

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

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

[Confidentiality paragraph here]

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

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

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

**LECTURER/SENIOR LECTURER  
SECURITY OF EMPLOYMENT SERIES**

(Revised 4/15)

Security of Employment

An appointment with Security of Employment or Potential Security of Employment can only be granted in conjunction with the titles Lecturer or Senior Lecturer. Security of Employment is not a reward for length of service but is based upon appraised and recognized merit. It cannot be conferred on an appointee unless there is an appropriately budgeted provision for the appointment. An individual may first be appointed as Lecturer with Potential Security of Employment. This may be viewed as a "security of employment-track" position, in the same way that an Assistant Professor position is a "tenure-track" position. Appointments in this series must be at greater than 50%. Lecturers with Potential Security of Employment and Lecturers or Senior Lecturers with Security of Employment are members of the Academic Senate when appointed at 100%.

Working Title

Appointees in the SOE series may use the working titles of Assistant Teaching Professor, Associate Teaching Professor, or Teaching Professor as appropriate to the rank within the SOE scale.

Campus Policy on Allocation of FTE

It is campus policy to consider the possible allocation of a provision for a Lecturer or Senior Lecturer SOE or Lecturer PSOE primarily in cases where the curricular duties are so specialized in character that it would be difficult to assure continuance of the presentation of the subject matter with any other type of appointment. A permanent allocation will be made only after an administrative review of a departmental request that must make a persuasive case that such an appointment fits this description and meets long range needs. This request and supporting justification should be submitted to the Executive Vice Chancellor via the Dean; it will also be reviewed by the Council on Planning and Budget. Lecturer and Senior Lecturer provisions will be rarely granted and only after the most rigorous scrutiny. The reason for this is that the university is primarily both a research and teaching institution. Provisions for permanent appointments or reappointments with the possibility of permanence should normally be used for the appointment of regular ladder faculty, that is to say, faculty who engage in both research (or other creative activity) and teaching.

**I. Qualifications**

At least one of the following qualifications is essential for appointment in the Lecturer SOE series:

1. Teaching ability in a subject matter so specialized in character that it would be difficult to assure continuance of the presentation of the subject matter with any other type of appointment, and promise of future growth.
2. Lecturer PSOE: clear evidence of potential excellence in teaching and promise of future growth.  
Lecturer SOE: teaching ability of exceptional quality, and promise of future growth.

Sr. Lecturer SOE: teaching ability of exceptional quality and evidence demonstrate, in terms appropriate to this type of appointment, that the candidate has reached the level of professional achievement required of a professor.

**II. Appointment Criteria**

Teaching:

Excellent teaching is an essential criterion for appointment. Clear documentation of ability and effectiveness in teaching is required. In judging the effectiveness of a candidate's teaching, such points as the following should be considered:

1. The candidate's command of his/her subject.
2. Continuous growth in his/her field.

3. Ability to organize material and to present it with force and logic.
4. Capacity to awaken in students an awareness of the relationship of his/her subject to other fields of knowledge.
5. Grasp of general objectives.
6. The spirit and enthusiasm which vitalize his/her learning and teaching.
7. Ability to arouse curiosity in beginning students and to stimulate advanced students to creative work.
8. Personal attributes as they affect his/her teaching and students.
9. The extent and skill of his/her participation in the general guidance and advising of students.

### Documentation

Documentation of teaching should include a description of the candidate's teaching load for the review period (at UCSB the normal teaching load for Lecturers in the SOE series is three courses per quarter or an appropriate equivalent). Documentation should also include an enumeration of the MA and Ph.D. candidates supervised or directed to completion of their degrees, and class by class summaries of all available teaching evaluations. Other significant types of evidence include:

1. Opinions of colleagues, particularly if based on class visits, observations of lectures, or knowledge or performance in courses prerequisite to those taught by the informant.
2. Opinions of current and former students.
3. Number and caliber of students the candidate has guided in their studies or attracted to the campus by his/her repute.
4. Information about the reception of lectures given by the candidate before professional or learned societies.
5. Information about time spent in teaching extra courses including University Extension, being available to and guiding students outside class, preparing for classes, undertaking courses he/she has not taught before, and improving instructional methods.

Student and peer evaluation of teaching is central to the review process, but evidence will also be sought of significant contributions to university level teaching through development of superior teaching materials, programs for teaching improvement, and other activities related to teaching.

### Professional Competence and Activity

Evidence includes such items as:

1. Election to significant offices of professional or learned societies.
2. Invitations to lecture, present papers, etc.
3. Awards, grants or honors bestowed by organizations or foundations.
4. Requests for consultative service.

### University and Public Service

Evidence should include a list of the candidate's services (with dates) in departmental, Academic Senate and administrative capacities (including committee service), and a list of formal service to the community or to public agencies. Evaluation of service in these areas is helpful. Recognition should be accorded the candidate for able

administrative or faculty governance, and for able service to the community, state or nation when such service rests upon professional expertise. Contributions to student welfare should also be recognized.

### **Letters of evaluation**

At least six letters of evaluation should be submitted with the case for appointment or promotion with Security of Employment, at least half of which come from individuals selected by the Chair in consultation with the department but independent of the candidate. The letters may be of two types:

- 1) Letters from extramural referees with knowledge of the candidate's professional status and teaching record.
- 2) Letters from UCSB Senate faculty, external to the department, who have conducted a peer review of the candidate's teaching. Peer evaluation may include 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.

Appointments to Lecturer, Potential Security of Employment may include placement files or restricted letters as outlined in Red Binder I 46, III.

In all cases, the sample letter for solicitation of extramural evaluation (Red Binder I 49) and the sample wording by proposed action (Red Binder I 50) should be used.

### **III. — Compensation**

The review cycle for a Lecturer in the SOE series is determined by the years at rank and years since last advancement.

Salaries for Lecturers with Potential Security of Employment will normally begin at a close equivalent to the salaries for Assistant Professors. Academic personnel review will occur every two years. Promotion to Lecturer SOE will normally occur during the sixth year of service as Lecturer PSOE.

Salaries for a Lecturer SOE normally begin at a close equivalent to the salaries for Associate Professors. Academic personnel review will occur every two years. Eligibility for advancement to Senior Lecturer SOE will occur after six years as Lecturer SOE. An individual who is not promoted to Sr. Lecturer SOE may continue to receive further merit increases, however eligibility will be every three years if the individual is being paid at a level equivalent to the salary of a Professor. The salary of a Lecturer SOE will not exceed the level of Professor VI.

Salaries for a Senior Lecturer SOE begin at a close equivalent to the salary for Professor I. Academic personnel review will occur every three years.

### **IV. — Restrictions**

1. An Assistant Professor with eight years of service, who is not promoted to Associate Professor may not be appointed to the Lecturer SOE series unless a five year break in service has occurred.
2. Total service at more than half time as Lecturer with Potential Security of Employment is limited to a maximum of eight years.
3. For a Lecturer PSOE at less than 100% time, promotion to Lecturer SOE automatically removes the individual from Unit 18.
4. Since appointees in the Lecturer series are hired for their teaching skills, they will normally carry significantly higher teaching loads than members of the professorial series. At UCSB the teaching load for the Lecturer SOE series will be determined by the departmental workload policy for titles in Unit 18.
5. Lecturers in the SOE series are not eligible for sabbatical leave. They may however request "educational leave" as described in Red Binder VI 7.



## V. Advancement

The academic advancement process for the Lecturer SOE series will be governed by the policies and procedures for ladder faculty reviews (Red Binder I-22). Lecturers in this series will be guaranteed the same rights and will undergo the same levels of review as ladder faculty. All cases are to be submitted via AP Folio using the checklists for submission by the department chair (Red Binder I-31 and I-34). Teaching is the primary area of review in the SOE series. Written student comments must be included with the case.

### 1. Merit

Merits within a Lecturer PSOE, Lecturer SOE or Senior Lecturer SOE title are Dean's Authority if they are on time based on the limitations in III above, the proposed salary increase is for at most two increments on the appropriate salary scale. These actions should be prepared using the guidelines listed in Red Binder I-31, modified appropriately to address the requirements of the SOE series.

### 2. Appraisal

A Lecturer PSOE has a probationary period much like that of an Assistant Professor. A mid-career review and appraisal of progress toward promotion will take place during the fourth year of service and will be conducted according to procedures and with the degree of rigor used in evaluating regular faculty (Red Binder I-38), modified appropriately to address the requirements of the SOE series.

### 3. Promotion

A Lecturer PSOE will become eligible for promotion to Lecturer SOE when the salary is a close equivalent to Assistant Professor IV. Promotion must occur by the end of the eighth year of service. Promotion to Lecturer SOE will require the same level of qualifications as initial appointment to Lecturer SOE.

A Lecturer SOE will become eligible for promotion to Senior Lecturer SOE after six years of service as Lecturer SOE. Promotion to Senior Lecturer SOE will require the same level of qualifications as initial appointment to Senior Lecturer SOE.

Promotions and accelerated actions are Expanded Reviews and should be prepared using the guidelines listed in Red Binder Section I-34 modified appropriately to address the requirements of the SOE series.

## Implementation of October 1, 2018 APM changes to review criteria

*Appointees to the SOE series with a hire date into the series of July 1, 2019 or earlier will continue to be evaluated under the criteria set forth in APM policy effective September 1, 2018. The transition to the October 1, 2018, criteria will take place as follows.*

- In April 2019, all SOE series appointees will be asked to elect to be evaluated by the new criteria, the old criteria, or to delay their decision by one year. Individuals being reviewed for advancement effective July 1, 2020 will be reviewed based on the criteria selected.*
- In April 2020, and April 2021, all SOE series appointees who have not yet transitioned to the new criteria will be asked to elect to be evaluated by the new criteria, the old criteria, or to delay their decision by one year.*
- In April 2022, any SOE series appointees who remain under the old criteria will be transitioned to the new criteria, for reviews effective July 1, 2023. A campus process for exceptions to this deadline (permanent grandfathering) will be established prior to April 2022.*
- The decision to move to the new criteria is irrevocable.*
- Use of either the old or new criteria may not in and of itself be used as the basis for reconsideration of a final advancement decision.*

*APM and Red Binder policies in place effective September 1, 2018 will remain available via the Academic Personnel web site at <https://ap.ucsb.edu/resources.for.department.analysts/lecturer.SOE.series.transition/> until April 2022. For SOE appointees who elect to permanently grandfather, the criteria will be incorporated into the individual memorandum of understanding established at that time.*

**PROCEDURE FOR RECALL OF SENATE FACULTY**

(Revised 9/18)

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 UCPATH 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 UCPATH** 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. **The Academic Personnel office should be consulted to determine the appropriate annualized salary rate.** Appointments will be entered into UCPATH using the Recall Faculty title.

**IV. Approval authority**

<b>Title</b>	<b>Title Job Code</b>	<b>Approval Authority</b>
Professor Emeriti	1132	
<b>Sr. Lecturer SOE Emeriti</b>	<b>1621</b>	
<b>Lecturer SOE Emeriti</b>	<b>1620</b>	
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 9/18)**

This compilation is intended as an aid for the use of Departmental Chairs and ~~ladder~~ *Senate* 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 and lecturer security of employment (SOE) ranks**: Assistant Professor/**Lecturer PSOE**, Associate Professor/**Lecturer SOE**, and Professor/**Sr. Lecturer SOE**. 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 <b>LECTURER PSOE</b> (8 year limit, non-tenured)		ASSOCIATE PROFESSOR <b>LECTURER SOE</b> (6 years normal, tenured)		PROFESSOR <b>SR. LECTURER SOE</b> (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

*Information contained within this document applies equally to both series unless otherwise noted. For ease of use, only the professorial series ranks are listed.*

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 (*Not required for appointments*)
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. *If the recommendations vary by \$4,000 but more than \$2,000 the Chancellor (or designee) will write a note to the file explaining his/her decision in lieu of a tentative decision.* 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 *in the professorial series* are:

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

*The criteria for promotion and advancement in the Lecturer SOE series are:*

- (1) Teaching
- (2) Professional and/or Scholarly Achievement and Activity
- (3) 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 *in the professorial series*. *Clear evidence and documentation of consistent and sustained excellence in teaching is an indispensable qualification for appointment or promotion to security of employment positions in the lecturer SOE series*. Insistence upon ~~this~~ these standards 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.

## 2. Evidence of Teaching (*Professorial and Lecturer SOE series*)

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

*In the Professorial series, effective teaching is an essential criterion for appointment or advancement or promotion. In the Lecturer SOE series, consistent and sustained excellence in teaching is an indispensable qualification for appointment or advancement.* 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 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.

#### 4 — Evidence of Research and Creative Work (*Professorial series*):

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.

### 3. Professional Competence and Activity (*Professorial series*):

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.

#### Professional and/or Scholarly Achievement and Activity (Lecturer SOE series)

Professional and/or scholarly activities may be related to the underlying discipline itself or to the pedagogy. Such activities should provide evidence of achievement, leadership, and/or influence on the campus or beyond. Certain administrative work (e.g., of learning centers and teaching programs) and community outreach work are also relevant, as would be presentations of seminars or lectures at other institutions or professional societies, or participation in scholarly activities (e.g., summer seminars) designed to enhance scholarly expertise in relevant fields. Other records of participation in intensive programs of study - in order to be a more effective teacher and scholar, with the goal of enhancing one's teaching and scholarly responsibilities - are also relevant evidence of professional and/or scholarly activity. Creative activities count as relevant professional and/or scholarly activities in appropriate disciplines. In certain fields, such as art, architecture, dance, music, literature, and drama, an accomplished creation should receive consideration as an example of professional and/or scholarly achievement and activity. In evaluating creative activities, an attempt should be made to define the candidate's merit in light of such criteria as originality, scope, richness, and depth of creative expression. Evidence includes such items as:

a. Documentation of the development of or contributions to:

- i. Original materials designed to improve learning outcomes;
- ii. Evidence-based design and evaluation of educational curricula or pedagogy;
- iii. Administration and evaluation of a teaching program or a learning center;
- iv. Systematic quality improvement programs and evaluation of their implementation;
- v. Discipline-specific information systems;
- vi. Development and evaluation of community outreach or community-oriented programs.

b. First, senior, or collaborative authorship of scholarly or professional publication;

c. Accomplished performance, including conducting and directing;

d. Accomplished artistic or literary creation, including exhibits;

e. Accepted invitations to present seminars or lectures at other institutions or before professional societies.

Activities may be listed on the bio-bib in the separate traditional categories of research/creative activity and University/Public service, or may be combined into a single category of Professional and/or Scholarly Achievement and Activity.

#### 4. ——— University and Public Service (Professorial and Lecturer SOE series):

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-24  
**CONTINUING EDUCATOR**  
(Revised 4/15)

**I. Definition**

This series is used for those appointees in **University Extension Professional and Continuing Education** who, as professional educators represent the University in serving the public through planning, coordinating and implementing continuing education programs, classes, conferences, short courses, discussion groups, lectures and media programs. See APM 340 for System Wide policy on Continuing Educators

**II. Levels**

Appointments may be made at level I, II or III.

**III. Appointment Criteria**

- A. A candidate for appointment to a position in this series is expected to have the appropriate academic and educational background. Normally the candidate will have received the highest level terminal professional degree in the programmatic area. However, a person with a Bachelor's degree with exceptional experience in one or more professional fields relevant to services may also be appropriate to this series.

Appointees shall be judged in the context of performance in the areas of:

1. Academic planning and curriculum development.
  2. Program administration/management/marketing
  3. Human resource management and development
  4. Professional competence
  5. University and public service.
- B. The appropriate level will be determined by taking into consideration such factors as program scope, program complexity and interface with UC faculty and/or industry sectors. APM 340-10c. provides guidelines for determining appropriate level. In general, the levels are differentiated as follows:
1. Continuing Educator I:  
Appointees will have responsibility for programs that are relatively simple in their organization and that may be administered with a small support staff, or where local University or community activities have a limited breadth or a narrow focus. The appointee will typically receive general supervision.
  2. Continuing Educator II:  
Appointees will have responsibility for programs of moderate complexity. Duties may include the independent planning and coordination of a program or programs with a moderately-sized support staff or, in a smaller unit, duties that encompass multi-program development.
  3. Continuing Educator III:  
Appointees will have extensive independent academic or administrative responsibility, including primary responsibility for the administration, management, and coordination of large complex programs. Appointment at this level requires demonstrated superior professional ability and attainment, evidence of professional achievement and outstanding accomplishment in job-related activities. Appointees will normally report to the Dean of **University Extension Professional and Continuing Education.**
- C. Appointment and reappointment requests should be processed using the checklist at Red Binder II-25.

#### **IV. Term of appointment**

- A. Appointments will normally be made for one year at a time but may be made for up to three years. A performance evaluation must take place prior to each reappointment.
- B. No further notice of non-reappointment is necessary for appointments at less than 50% or for appointment of less than eight consecutive years in the same title or series.

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

#### **V. Advancement**

Movement between levels will require significant changes in the scope and complexity of the program being administered.

Merit within the level is not automatic but rather is based on individual qualifications and meritorious performance. A merit review will be conducted at least once every three years. Earlier advancement is possible when supported by the record of performance.

Evaluation of the performance should be based on the criteria listed below, as they apply to the specific position. See APM 340, Appendix A for further detail of the various criteria:

1. Academic Planning and Curriculum Development
2. Program Administration/Management/Marketing
3. Human Resource Management and Development
4. Professional Competence and Growth
5. University and Public Service

Merit requests should be prepared using the checklist on Red Binder II-25.

When processing appointments or promotions it is not appropriate in this series to solicit comments from outside evaluators as is the practice with Ladder Faculty, Researchers or Specialists. Rather, opinions from individuals at other institutions where the nominee has been employed and/or from other qualified persons having first-hand knowledge of the nominee's attainments should be included. Opinions from faculty members or other similarly qualified professionals are important in the case of proposed appointments to Rank III or above.

When soliciting extramural letters for appointment or promotion, the procedures found in Red Binder I-46, Extramural Evaluators, should be followed with wording modified as appropriate for this series.

Along with copies of any publications a representative sampling of **Extension Professional and Continuing Education** programs developed by the candidate between the prior and current review should be included with a case for advancement. This sampling should include information on attendance, representative evaluations by students (if available), and a statement written by the Dean evaluating the programs.

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

Action

All actions

Authority

AVC for Academic Personnel



II-25  
**DOCUMENTS TO BE SUBMITTED BY THE CHAIR**  
**CONTINUING EDUCATORS**  
(Revised 11/16)

**APPOINTMENTS**

**I. Departmental letter of recommendation**

Accurate and analytical letters of recommendation from the department are essential in the review process.

See Red Binder I-35 for further detail of content of departmental recommendations:

- Are the dates of the appointment and the level of the appointment clearly stated?
- Is the recommended salary on the published salary scale?
- Is the JPF# from UC Recruit included?

**II. Complete CV and UCSB Academic biography form**

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

**III. Job Description**

- Does the job description address program scope and complexity, degree of independence, level of professional accomplishment required and scope of impact on the campus mission?

**IV. Letters of evaluation and list of evaluators**

**Letters**

- Have all letters been coded?
- If the letters were sent via email, is a copy of the email and any attachment included?

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

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

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

- Do the codes on the letters match the codes on the list and the codes used in the departmental letter?

**V. Copies of other supportive documentation**

- Has a representative sampling of supporting documentation been submitted?

Other considerations:

1. If a search was conducted, the search report must be approved in 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.

**REAPPOINTMENTS**

**I. Departmental letter of recommendation**

Accurate and analytical letters of recommendation from the department are essential in the review process.

See Red Binder I-35 for further detail of content of departmental recommendations:

- Are the dates of the appointment and the level of the appointment clearly stated?
- Is the recommended salary on the published salary scale?

**II. Job Description**

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

## **MERITS**

### **I. Departmental letter of recommendation**

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

- Is the letter signed and dated?
- Is the letter an accurate, extensive, and **analytical** representation of the case?
- If there is a recommendation for an acceleration, are the reasons for the acceleration specifically stated?
- In the case of a negative departmental recommendation, is the basis of the recommendation clearly documented?

### **II. Updated CV or Bio-bib**

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

### **III. Job Description**

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

### **IV. Safeguard Statement (RB III-5).**

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

- Is it signed and dated?
- If there are no confidential documents (e.g. external letters, minority opinion report), box **6.D.** should be checked.
- Are copies of everything the candidate has provided, or been provided, included with the case (e.g. redacted letters, list of potential evaluators)?

### **IV. Copies of supportive documentation**

- Has a representative sampling of supportive documentation been submitted, including a sampling of **Extension Continuing and Professional Education** Programs developed, teaching evaluations or other one-of-a-kind items as appropriate?

III-20  
**RESEARCH ASSOCIATE AND RESEARCH FELLOW**  
(Revised 9/18)

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 Job** code **3298 CWR 022**

Research Fellow: **Title Job** code **3296 CWR 021**

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. *All appointments are to be entered into UCPATH by the department.*

V. Approval authority

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

**III-25**  
**WITHOUT SALARY VISITORS**  
(Revised 4/18)

**I. Definition**

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

**II. Appointment Criteria**

A. Appointments may be made as:

Visiting Scholar: Title Job Code 3299 CWR015

Visitor (Graduate Student): Title Job Code 3730 CWR003

Visitor (Undergraduate): Title Job Code 3731 CWR016

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

**III. Terms of appointment**

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

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

**IV. Compensation**

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

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

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

**V. Appointment Procedure**

Appointments are processed by submitting a [Contingent Workers Appointment Form](#), signed Patent Acknowledgement form, and an up to date UCSB Biography form to the Academic Personnel office. *All appointments are to be entered into UCPATH by the department.*

**VI. Approval authority**

Action  
All Actions

Authority  
Department Chair or Director with post-audit by Academic Personnel

IV-3  
**ASSOCIATE IN \_\_\_\_\_**  
(title code 1506)  
(Revised 11/15)

There is no APM section describing this title. Appointments into this title are governed by the Memorandum of Understanding between the University and the UAW. At UCSB, the application of this policy is outlined in the following:

**I. Definition**

This title is assigned to registered UC graduate students employed temporarily to give independent instruction of a course.

**II. Appointment Criteria**

An Associate should be competent to conduct independently and without supervision the entire instruction of a course.

- A. Appointees to the Associate title are subject to all eligibility requirements listed in Red Binder IV-1
- B. The minimum qualifications for appointment to the Associate title shall be possession of a Master's degree, or advancement to candidacy, and at least one year of teaching experience.
- C. Appointees must be within the Departmental and Graduate Council approved number of years for both advancement to candidacy and degree completion as specified in Academic Senate Regulation 350A.

**III. Terms and Conditions of Employment**

- A. Normally an Associate will conduct the entire instruction of a course. An Associate may not be assigned an upper-division undergraduate course without the approval from the Committee on Courses and General Education (CCGE) and may not teach a graduate course without approval from the Graduate Council.
- B. Associates may not evaluate fellow graduate student appointees (i.e., Teaching Assistants). For courses in which Teaching Assistants are appointed, a specific faculty member must be named to be responsible for evaluation and mentorship of the Teaching Assistants.
- C. This appointment does not imply the responsibility of engaging in research.
- D. Appointments as an Associate are subject to the limitations of service described in Red Binder IV-1.

**IV. Personnel Actions**

- A. Appointment packets should be submitted to the Dean of the Graduate Division at least ~~six~~ *eight* weeks in advance of the beginning of the quarter.
- B. Appointees shall be notified in writing of their appointment. The written notice of appointment shall include all information required by Article 2 of the Memorandum of Understanding as well as appropriate supplemental documentation. Sample letters are available on the Academic Personnel web site at: <https://ap.ucsb.edu/resources.for.department.analysts/graduate.student.appointments/>
- C. Appointment packets should include the following:
  - Associate Appointment Form
  - UCSB Biography form with initial appointment in department
  - Teaching Evaluations - *ESCI*s from the following:
    - *Appointee's three most recent quarters as TA*
    - *Any offerings of the same course as for the proposed Associate appointment*
    - *All courses taught as an Associate*

- Graduate transcript
- Current CV
- Course Syllabus

D. Appointment requests that include the following exceptions must include an endorsement from the student's home academic department.

- On warning status
- Beyond time to degree
- Appointment in quarters 13-15

E. Any changes to the appointment must be communicated to the appointee in writing.

## V. Compensation

- A. Individuals appointed to this title are compensated at any on-scale rate within the published "Associate" range of the Academic Salary Scales at the 1/9th rate.
- B. Salaries are subject to range adjustment.
- C. A graduate student who is appointed as an Associate for 25% time or more during an eligible academic quarter will qualify for partial fee remission and payment of student health insurance.

## VI. Approval Authority

### Action

### Authority

All Actions

Dean, with appropriate endorsements for exceptions\*

\*Endorsements

Dean, Graduate Division: Academic Probation, four or more quarters beyond time to degree, employment beyond 15 quarters

Academic Senate (CCGE  
or Graduate Council):

Teaching an upper-division or graduate-level course

**IV-9**  
**REMEDIAL TUTOR**  
**(11/15)**

There is no APM section describing this title. Appointments into this title are governed by the Memorandum of Understanding between the University and the UAW. At UCSB, the application of this policy is outlined in the following:

**I. Definition**

This title is assigned to registered UC graduate and qualified undergraduate students employed temporarily to assist students in understanding course concepts, discovering solutions to problems, modeling study strategies, developing methods for independent work, and preparing for upcoming exams.

**II. Appointment Criteria**

*Remedial* Tutors will ~~usually~~ normally be graduate students; ~~but however~~ qualified undergraduate students may be so employed *in established undergraduate tutoring programs. Additional appointment criteria, such as completion of specific coursework, may be required for Remedial Tutor positions.*

Title codes **2288 and 2289 (Remedial Tutors I & II – Gship)** ~~is are~~ to be used for graduate student appointment

Title codes **2280 and 2290 (Remedial Tutors I & II – non-Gship)** ~~is are~~ used for graduate student appointment – no fee remission and undergraduate student appointment

**III. Terms and Conditions of Employment**

~~A.~~ *The Remedial Tutor is responsible for mentoring of undergraduate students, either for a specific course through an established departmental program or for more general mentoring within a discipline through CLAS. Responsibilities may include assistance with course-specific study skills and/or lab activities, problem solving, or with other work associated with the course. The Remedial Tutor may assist with grading, but may not assign final grades to student work, be the sole facilitator of discussion sections for enrolled students, or otherwise be solely responsible for activities assigned to other instructional staff such as faculty, Associates, or Teaching Assistants for the course.*

~~B.~~ ~~A.~~ All Remedial Tutors are subject to the provisions of the Memorandum of Understanding ~~regardless of student status.~~

~~C.~~ ~~B.~~ Appointment as a Remedial Tutor ~~are is~~ subject to the limitation of service described in Red Binder Section IV-1.

~~D.~~ ~~C.~~ *While the workload may fluctuate throughout an academic term, at no time may* a Remedial Tutor ~~shall not~~ be assigned a workload of more than 40 hours in any one week or assigned to work more than eight (8) hours in any one day.

~~E.~~ *The working title of Learning Assistant may be used for appointees in the Remedial Tutor series.*

**IV. Personnel Actions**

A. Appointees shall be notified in writing of their appointment. The written notice of appointment shall include all information required by Article 2 of the MOU as well as appropriate supplemental documentation. Sample letters are available on the Academic Personnel web site at: <https://ap.ucsb.edu/resources.for.department.analysts/graduate.student.appointments/>

B. Appointment requests *for graduate students* that include an exception to appoint beyond 50% time must include an endorsement from the student's home academic department. *Undergraduate student appointments will normally not exceed 25% time. Undergraduate employment may not exceed 50% time during the academic year, inclusive of all UCSB employment.*

C. Any changes to the appointment shall be communicated to the appointee in writing.

## V. Compensation

- A. Individuals appointed to this title are compensated on an hourly basis according to the published salary scales.
- B. **Remedial** Tutors shall be guaranteed pay for the entirety of any pre-scheduled tutoring timeslot.
- C. A graduate student who is appointed as a **Remedial** Tutor for 25% time or more during an academic quarter will qualify for partial fee remission and payment of graduate health insurance.

## VI. Approval Authority

Action

Authority

All Actions

Department Chair



V-28  
**DEANS AND FULL TIME FACULTY ADMINISTRATORS**  
(Revised 11/16)

The system-wide policy for Deans is set forth in Academic Personnel Manual (APM) 240. The system-wide policy for Full-time Faculty Administrators is set forth in Academic Personnel Manual (APM) 246. At UCSB, the application of these policies is outlined in the following:

**I. Definition**

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

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

Associate Vice Chancellor  
Associate Dean

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

**II. Terms of service**

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

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

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

**III. Salary administration**

**A. Establishment of salary:**

Deans will be paid within the salary bands established by the Office of the President. Initial salaries will be based on prior relevant administrative experience, market factors, comparable positions on campus or within the UC system, and the individual's professorial salary. At all times the administrative salary must remain greater than the professorial salary.

A full time Faculty Administrator's initial salary will be based on the following factors, as applicable: prior relevant administrative experience, market factors, comparable positions on campus or within the UC system, and the individual's professorial salary.

**B. Merit increases:**

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

**C. Other salary increases:**

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

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

The amount of pay increase at the time of the five-year review will be based on the five-year assessment, the candidate's current position within the salary range and relative to other internal positions, and the availability of funding. Equity or retention increases may also be granted during the appointment period and should be effective July 1 to the extent possible.

**D. Additional Compensation:**

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

#### **IV. Conflict of Commitment and Outside Professional Activities**

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

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

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

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

#### **V. Leaves**

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

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

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

VI-2  
**Sabbatical Leave (APM 740)**  
(Revised 10/11)

Please refer to APM 740 for statement of purpose, definition, concepts, types, qualifying service, exceptions, eligibility, restrictions, compensation, and special appendices. Sabbatical leaves are granted to enable recipients eligible Senate faculty to be engaged in intensive programs of research and/or study, thus to become more effective teachers and scholars and to enhance their services to the University. There are two types of sabbatical leave:

- a) Regular sabbatical leave is leave from all regular duties to enable the individual to devote full-time to research and/or study. 9 sabbatical leave credits are required for each quarter of regular sabbatical leave at full salary. 6 sabbatical leave credits are required for each quarter of regular sabbatical leave at 2/3 salary.
- b) In Residence sabbatical leave is leave during which the faculty member is in physical residence during the quarter(s) and continues to teach at UCSB. Appointees in the Professorial series will teach a regularly scheduled class that meets at least three hours per week (this requirement is not fulfilled by a 599 class taught to ones own doctoral/masters students). Appointees in the Lecturer SOE series will teach a reduced load based on the overall teaching workload. In exceptional cases significant University service may be substituted for all or part of the instructional requirement. Service must be at the campus-wide or University-wide level and must require a time commitment of equivalent to teaching a regularly scheduled class as described above. Such exceptions require prior approval by the Associate Vice Chancellor for Academic Personnel. 6 sabbatical leave credits are required for each quarter of in residence sabbatical at full salary.

Credit toward eligibility to apply for sabbatical leave is earned through service in the University during each quarter of half-time or more in a ladder rank faculty title. Credit is earned during service as an Acting or Visiting ladder rank faculty if the service is immediately followed by service in the regular ladder rank title. Refer to APM 740-11 for information concerning service in other academic series, fiscal year appointments or periods during which credit does not accrue. Note that deferral of sabbatical leave credits is automatic and no maximum accrual amount is imposed at UCSB.

A faculty member is required to return to University service immediately following a sabbatical leave for a period of time at least equal to the period of the leave. Failure to return to regular service will create an obligation on the part of the faculty member to refund the entire salary received during the leave to the University. Transfer to another UC immediately following a sabbatical does not require repayment of salary. APM 740-16 through 740-19 discusses other restrictions and limitations of sabbatical leaves; and Colleges may have separate restrictions governing obligations following special leaves.

- A. Applications for sabbatical leave shall be submitted to the appropriate Dean via the Department Chairperson. The application shall include:
  1. A statement providing information outlined in APM 740-94.
  2. A memo from the Chair endorsing the leave (Red Binder VI-1, V)
  3. A statement providing the number of credits to be used to support the leave and the balance remaining after the leave.
  4. A list of other faculty with approved leaves.

If five or more years have passed since the last academic advancement the request must also include:

1. An updated bio-bibliography
  2. Copies of reports from any sabbatical leaves taken since the last advancement.
- B. The application must be initiated no later than three months prior to the begin date of the pay period of the proposed leave. The department will receive a copy of the approval letter sent to the faculty member as notification of approval of the leave. No later than 30 days prior to the pay period of the proposed leave, the information should be entered into the payroll system.

- C. Within ninety calendar days following return from leave, the recipient of a sabbatical leave shall submit to the Associate Vice Chancellor for Academic Personnel a report of the results of the leave. Information to be included in this report is contained in APM 740-97 and includes:
1. Account of activities during the leave, including travel itineraries, institutions and locations visited, persons with whom there was extensive consultation or collaboration, and any formal lectures delivered.
  2. Statement of progress made on the project as proposed in the application.
  3. Explanation of any significant changes made in the project.
  4. Appraisal of the relationship between the results anticipated in the leave project statement and those actually achieved.
  5. Statement of future activity related to the project, including plans for completion of the project and publication of results.

The report will become a part of the supporting materials submitted with any proposal for subsequent promotion or merit increase.

VI-7  
**OTHER LEAVES**  
(Revised 5/17)

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

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

VI-8  
ACADEMIC LEAVE ACCRUAL **CODES** **RATES**  
(Revised 11/15)

**Type of Appointment**

**Accrual Code** **Rate per month\***

Appointments made on 9/12 or 9/9 basis:

Academic Coordinators 9/9      **F** *No vacation, 8 hours sick leave*

Academic Coordinators 9/12      **F\*** *No vacation, 8 hours sick leave only during the 9 months of service*

All other 9/9 and 9/12 appointments      **N** *No vacation, no sick leave*

Appointments made on 11/12 basis (other than GSR):

Less than 6 months, less than 50% time      **N** *No vacation, no sick leave*

Less than 6 months, 50% time or more      **F** *No vacation, 8 hours sick leave*

6 months or more, less than 50% time      **N** *No vacation, no sick leave*

6 months or more, 50% time or more      **D** *16 hours vacation, 8 hours sick leave*

Graduate Student Researchers:

Less than 12 months at any percent time      **N** *No vacation, no sick leave*

12 months or more, less than 50%      **N** *No vacation, no sick leave*

12 months or more, 50% or more      **E** *16 hours vacation, no sick leave*

Postdoctoral Scholars      *12 days sick leave, 24 days PTO per 12 month appointment*

*(note: Postdoctoral Scholars accrue sick leave  
but it must be tracked outside of the payroll system)*

**N**= no vacation, no sick leave

**D**= 16 hours vacation, 8 hours sick leave at full time. Prorate based on percent time.

**E**= 16 hours vacation at full time. Prorate based on percent time. No sick leave accrual

**F**= No vacation. 8 hours sick leave at full time. Prorate based on percent time.

*\*For 9/12 Academic Coordinators sick leave is only accrued for the 9 months of service. Accrual must be manually adjusted at this time to equal 6 hours per month over the 12 months of pay or 8 hours per month for only the months of service. Prorated when less than full time.*

VI-10  
**ADDITIONAL COMPENSATION**  
 (Revised 04/18)

**General Policies**

Reference: APM 660

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

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

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

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

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

Other than the specific types of service covered by policy and applicable bargaining agreements, Academic appointees may not be employed beyond 100%.

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

Summer additional compensation may only be earned during the designated summer period. This is the time period from the day following the last day of final exams in the spring, through the last day before classes start in the fall. The dates represent the available days in each month of the summer period. This information will be updated on an annual basis. For transactional purposes the service days are converted to a percentage spread over the coinciding pay period. Because available service dates may exceed 19 in a given month, service days beyond 19 in a month may be paid on a secondary position/job up to the maximum allowable percentage of time in the service month.

Dates for 2018 Additional compensation

Dates for 2019 Additional compensation

<u>Pay Dates</u>	<u>Service Dates</u>	<u>Max Days</u>	<u>Max % time</u>	<u>Pay Dates</u>	<u>Service Dates</u>	<u>Max Days</u>	<u>Max % time</u>
June 1-30	June 18-30	10	.5263	June 1-30	June 15-30	10	.5263
July 1-31	July 1-31	22	1.1579	July 1-31	July 1-31	23	1.2105
Aug. 1-31	Aug. 1-31	23	1.2105	Aug. 1-31	Aug. 1-31	22	1.1579
Sept. 1-30	Sept. 1-21	15	.7895	Sept.1-30	Sept. 1-21	15	.7895



VI-17  
**OTHER ADDITIONAL COMPENSATION**  
(Revised 9/18)

**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 earn code **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 earn code **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 Professional and Continuing Education teaching**

Reference: APM 662, appendix B-2

Faculty may teach courses through **University Extension Professional and Continuing Education**. 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 Professional and Continuing Education** 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 earn code **ACX** is used for current University faculty employed at 100% time who are teaching as additional compensation.

The earn code **UNX** is used for individuals who only teach through **Extension Professional and Continuing Education** 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 additional pay using the earn code of **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 earn code of **ADC** will be used for percentage based (1/9<sup>th</sup>) awards, and the earn code of **ACN** will be used for flat rate awards.

## **V. Department Chair and Director stipends**

Department Chairs and Directors are paid a monthly stipend with 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 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 earn code of **HON**. One-time honoraria payments are allowable up to \$2,500 per event, and up to \$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 earn code to be used.

VII-1  
**POLICIES ON OPEN RECRUITMENT FOR ACADEMIC APPOINTMENTS**  
(Revised 5/17)

It is the policy of the University of California not to engage in discrimination against any person seeking employment with the University. In addition, it is the policy of the University to undertake affirmative action, consistent with its obligations as a Federal contractor. Conducting open searches for employment positions supports the University of California in fulfilling its requirements under federal and state laws. The University of California Affirmative Action Guidelines for Recruitment and Retention of Faculty, Office of the President, Academic Advancement, are available at:  
<http://policy.ucop.edu/doc/4000376/NondiscrimAffirmAct>

An open recruitment is required for all academic positions unless the recruitment is exempt under the specific criteria listed in section II below.

**I. Recruitment types and requirements**

As appropriate, a Department will recruit both within and outside the workforce to obtain diverse pools of qualified applicants. For Senate faculty the level of position advertised is based on the level of search approved by the Executive Vice Chancellor. Non-Senate searches may be at a specific rank or at open rank.

External Recruitments are open to all applicants and are listed in various off-campus publications and the UC Recruit job board. Typically, external recruitments generate the largest and most diverse applicant pools consistent with the campus commitment to equal opportunity and diversity.

In some unique situations, an internal recruitment may be utilized so long as it is consistent with equal employment and affirmative action objectives and results in a diverse pool of qualified applicants. Internal recruitment requests require consultation, prior to the beginning of the recruitment, with the Office of Equal Opportunity & Discrimination Prevention and Academic Personnel.

Recruitments may be conducted in the following ways:

One-time recruitment: The recruitment is advertised for the duration of the recruitment for a specific position or positions. Most often the one-time recruitment will be for a single hire, however occasionally a single recruitment may yield multiple hires. This may be either the result of multiple positions being available at the beginning of the search, or may occur through a special request to make multiple hires. Requests to make multiple hires from a Senate Faculty search originally designated as a single hire will be initiated by the Department Chair and submitted to the Executive Vice Chancellor via the Dean. The Dean will be asked to provide additional information concerning the FTE to be used for the additional hire, and the Executive Vice Chancellor will consult with the Academic Senate as appropriate. Requests to make multiple hires from a non-senate search originally designated as a single hire are to be addressed to the Associate Vice Chancellor for Academic Personnel.

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

**II. Exemptions from Open Recruitment Policies**

- A. Appointment to temporary academic administrator positions by individuals already holding an academic appointment
- B. Recall appointments
- C. Visiting appointments in the Professor, Researcher, or Project Scientist series. The individual must be a “true visitor” i.e. on leave from or retired from an equivalent position at another academic institution.
- D. Appointees within Unit 18, who have previously undergone open recruitment in the same department for a Unit 18 position without a significant break in service.

- E. Positions requiring student status, e.g. teaching assistant, graduate student researchers or trainee status, e.g. Postdoctoral Scholars.
- F. A modification of the current position from *the Professorial series to the Lecturer SOE series* ~~one Senate series to another (i.e. Lecturer SOE to)~~ or one non-senate research series to another (i.e. e.g. Project Scientist to Researcher) assuming the original appointment had either an open search, an approved waiver or is exempt from search due to without salary status.
- G. Without salary appointments.

Although open recruitment is not required in the above situations, a department may choose to conduct a search. When a search is conducted, all appropriate policies and procedures must be followed.

### III. Search waivers

An open recruitment, available to all qualified applicants, is a preferred hiring mechanism since it provides substantial assurance of compliance with University policy and the quality of the individual offered a position. However, special circumstances may on occasion justify a waiver of the search requirement.

#### A. Non-Senate Titles

1. Emergency Hire: Unexpected circumstances result in insufficient time to recruit: ( e.g., unexpected illness, leave of absence of faculty, emergency research need.) Waivers will be granted with a specific end date.
2. Spousal or Domestic Partner Hire: the hire of a spouse or domestic partner in order to initially hire or retain a Senate faculty member. Waivers will be granted for the duration of employment in the job series.
3. PI/Co-PI/Leadership Status: the proposed appointee is the principal investigator, co-principal investigator of a grant/contract, or has been named in the grant/contract for a specific leadership role. Supporting documentation must be available in the departmental file and may be requested as necessary. Waivers will be granted for the duration of the contract or grant.
4. Continuation of Training: the proposed appointee is currently a graduate student researcher or postdoctoral scholar at UCSB and will remain for a short period to complete a research project begun while in the current status. Waivers may not be granted for longer than one year.
5. Research Team: the proposed appointee is part of an existing research team of a new faculty member relocating from another academic institution and will be continuing in the same capacity in the lab. The waiver is valid for the duration of appointment in the same title within the same team.

Consistency with the criteria above does not guarantee a waiver will be granted.

Search waiver requests are initiated by the department through UC Recruit.

The Director of Equal Opportunity & Discrimination Prevention will provide information regarding the impact of the proposed hire on affirmative action goals and the Campus Affirmative Action Plan. The request will then be reviewed by the Dean or Associate Vice Chancellor with approval authority for the requested action. If the request is approved, the department may then submit an appointment case. If the request is denied, an open search will be required.

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

## **B. Senate Faculty**

1. Partner Hire: the hire of a partner in order to initially hire or retain a Senate faculty member. In such cases, the partner should have a record and credentials that provide evidence he or she would likely be among the top candidates if an open search had been conducted.
2. Exceptional Opportunity: an unusual opportunity to hire an individual who has qualifications that are so uniquely outstanding as to justify the waiver. In all these cases the candidate would be on the short list of top candidates if a full search were conducted, and the individual would be highly sought after by peer institutions. Examples would include an internationally recognized leader in a particular field (e.g., a Nobel Laureate or a Pulitzer Prize winner), an exceptional scholar who would make special contributions to diversity in a particular program or field; or a highly sought after individual who is on the market for a very limited time period. Exceptional Opportunity are normally expected to be at the Full Professor level, but under exceptional circumstances, justified by compelling reasons, they may be at a lower level.
3. President's Postdoctoral Fellowship Recipients: the proposed hire is a current or former recipient of a UC President's or Chancellor's Postdoctoral Fellowship.

Consistency with the criteria above does not guarantee a waiver will be granted.

Search waiver requests are initiated by the department through UC Recruit. The department memo must address the following:

- Which category of waiver is being requested.
- The departmental vote on the request for a waiver.
- A report of the departmental discussion of three major issues: 1) the candidate's qualifications; 2) the candidate's programmatic fit within the departmental academic plans; and 3) the source of the FTE and the impact of the appointment on the departmental FTE plan
- In the case of an Exceptional Opportunity request, an explanation why it is not possible to consider the candidate as an applicant in an open search (for example, the individual under consideration is available only for a limited period of time.)

Requests will be routed to the Dean for review. As part of his or her recommendation, the Dean should address the items outlined in #3 above, as well as the programmatic and budgetary impact within the department and on a divisional or college wide basis. If the Department has not identified an FTE, the Dean must do so. The Executive Vice Chancellor will consult with the Director of Equal Opportunity & Discrimination Prevention, the Council on Planning and Budget, and the Committee on Academic Personnel prior to making a final decision. The Director of Equal Opportunity & Discrimination Prevention will provide information regarding the request in the context of the Campus Affirmative Action Plan and placement goals. The Council on Planning and Budget will provide guidance regarding resource allocation for the position. The Committee on Academic Personnel will provide an initial assessment of the candidate's qualifications for an academic senate position. If the request is approved, the department may submit an appointment case. If the request is denied, an open search will be required.

In recruitments that are limited to either the Assistant or Associate level, if a candidate is promoted to a higher level at their home institution while the search is in progress, or an appointment at a higher rank is justified by the need to make a competitive recruitment offer (such as a competing offer at a higher rank) the department may request permission to allow appointment at the next highest rank. The request will be forwarded from the department, via the Dean, and Associate Vice Chancellor for Academic Personnel, to the Executive Vice Chancellor. If the request is approved, the department may then submit the appointment case with a request for the higher rank. Additional external evaluation may be required to support the higher rank appointment.

IX- 20  
**PROCEDURE FOR NON-SENATE ACADEMIC  
APPOINTEES CORRECTIVE ACTION AND DISMISSAL**  
(Revised 10/17)

**I. Related Policies**

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

**II. Background**

Corrective action or dismissal may be instituted for good cause, including but not limited to misconduct, unsatisfactory work performance, or dereliction of duty. For non-Senate academic appointees who are subject to peer review for performance evaluation, demotion and dismissal shall involve the regular peer review process. Such peer review shall be advisory to the referral officer as listed in Appendix A.

**III. Policy**

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

**A. Definition**

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

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

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

An appointee may be placed on immediate investigatory leave with pay, without prior written notice, for the purpose of reviewing or investigating charges of misconduct or dereliction of duty, which, in the judgment of the Chancellor, or Associate Vice Chancellor for Academic Personnel, require removing the appointee from University premises. Such investigatory leave must be approved by the Associate Vice Chancellor for Academic Personnel and confirmed in writing after it is instituted.

3. Written Notice of Intent

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

4. Response to Written Notice of Intent

The appointee who receives a written Notice of Intent shall be entitled to respond, either orally or in writing, within fourteen (14) calendar days of the date of issuance of the written Notice of Intent. The response, if any, shall be reviewed by the adjudicating officer as listed in Appendix A.

5. Review of Proposed Corrective Action or Dismissal

- a. Review shall normally be addressed by the appropriate referral officer to the appropriate adjudicating officer. *For employees subject to peer review (see appendix A) the following additional steps will be taken:*
  - i. The adjudicating officer shall appoint a three-member committee of University employees, one of whom shall be the Director of Equal Opportunity, and the remaining two shall be employees in the same or similar title and status as the affected individual. This committee shall investigate and advise the adjudicating officer of the appropriateness of the proposed action.
  - ii. After timely receipt of the committee's recommendation on the proposed action, the adjudicating officer shall advise the Chancellor, Dean, Dean of the Graduate Division (in cases involving student titles), the referral officer, and the individual's supervisor, if other than the referral officer, of any action to be taken.
  - iii. The individual shall have the right to grieve this action under APM 140 and Red Binder IX-25.

6. Written Notice of Action

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

7. Representation

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

8. Extension of Time

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

## APPENDIX A

TITLE, SERIES OR CLASS OF INDIVIDUAL CHARGED	REFERRAL OFFICER	ADJUDICATING OFFICER
<i>Adjunct Professor (paid positions)*</i>	<i>Department Chair</i>	<i>Associate Vice Chancellor Academic Personnel</i>
Professional Research Specialist Project Scientist	Department Chair or Director	Associate Vice Chancellor Academic Personnel
Librarians	Head of Unit	University Librarian
Assistant or Associate University Librarian	University Librarian	Executive Vice Chancellor
<del>University Extension Personnel</del> <i>Continuing Educators Extension Teacher</i>	<del>Director of Dean Division</del> <i>Dean, Professional and Continuing Education</i>	Associate Vice Chancellor Academic <del>Programs</del> <i>Personnel</i>
Academic Coordinator	Department Chair or Director	Associate Vice Chancellor Academic Personnel
Graduate Student Researcher	Department Chair or Director	Associate Vice Chancellor Academic Personnel

*\*subject to peer review*