

February 14, 2022

TO: Deans, Department Chairs, Directors, Senate Faculty, and Business Officers

FROM: June Betancourt, Director
Academic Personnel

RE: Red Binder updates

A number of revisions to the Red Binder (UCSB campus academic personnel policies and procedures) have been posted at the Academic Personnel website to be effective February 14, 2022.

A summary of changes is listed below. 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-8	Deletes UCSB Minimum Scale; clarifies retention of off-scale
I-15	Adds salary justification to appointment checklist
I-22	Clarifies ad hoc procedure in advancement cases
I-36	Accelerations clarified and expanded to include DEI
I-44	Specifies that retentions are to be based on active outside offers
III-12	Update of outside letter solicitation language in Researcher cases
IV-6	Increases ASE quarter count under departmental approval delegation
VI-3	Expands definition of family members covered under sick leave
VI-4, VI-5	Pronoun and parental reference update; technical corrections
VI-14	Correction to RB reference
VII-7	Adds vaccine compliance language to job ads; technical updates

I-8
OFF-SCALE SALARIES
(Revised 9/21)

~~I. UCSB Minimum Scale Rate~~

~~As a result of salary increase programs, — some academic employees must be paid at least at the UCSB minimum scale rate. The associated off-scale supplement assures equity among academic employees and with other UC campuses. An employee paid at UCSB Minimum Scale rate will be advanced to the Minimum Scale rate at the next step upon on-time advancement.~~

~~II. I. Off-Scale Appointments~~

In instances of market pressures, efforts should be made to separate the issue of academically merited rank and step from the issue of the requisite salary needed to recruit a member of the faculty. For those academic areas in which market pressures are a consideration, departmental recommendations for appointment should reflect (a) a recommended rank and step appropriate to academic and professional achievement; and (b) an appropriate off-scale together with documentation of the market conditions that justify it.

~~III. II. Off-Scale Advancements~~

Off-scale supplements are retained in on-time, **normative** advancements. When properly justified an advancement with an increase in off-scale salary may be approved in situations which cannot properly be accommodated through advancement in step only. For example:

- a) a record of performance that exceeds that expected for a one-step increase **on the ladder** but does not meet the expectations for an **additional, full** one-step acceleration **beyond that**.
- b) the record of performance does not justify advancement to the next step at the normative time but does represent a level of performance that supports a within-step increase.
- c) recognition of special services or other achievements not normally recognized by on-schedule or accelerated step advancement;

Red Binder I-36 provides further guidance regarding accelerated actions. Red Binder I-44 provides further guidance regarding the use of off-scale salary in retention efforts.

For faculty already at Step IX, consideration for further merit increase within Step IX is reserved for cases of highly meritorious contributions to teaching, research, professional activities, and service, which fully meet the performance expectations for faculty at the top step of the professorial ladder and which demonstrate progress towards eventual advancement to Above Scale status. An increase within Step IX may not exceed the dollar amount of an Above Scale two-increment advancement. If advanced within Step IX, progression to Above Scale should occur at the normative time at step (four years), with early advancement being lateral (maintaining salary but advancing in rank) and eligibility for future merit determined based on the combination of years since last salary advancement within Step IX and the years at Above Scale.

A faculty member may receive no more than two within-step increases in the off-scale supplement. Additional off-scale increases may not be granted unless accompanied by advancement in rank or step.

I-15
DOCUMENTS TO BE SUBMITTED BY THE CHAIR
APPOINTMENTS
(Revised 9/20)

All appointment cases are submitted via AP Folio.

I. Departmental letter of recommendation

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

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

II. Extramural letters of evaluation and list of evaluators (Red Binder I-49)

Extramural Letters

- ☐ For tenured appointments, are there at least 6 letters, including letters from UC familiar referees?
- ☐ For tenured appointments, are at least half of the letters from references chosen by the Chair/Dept independent of the candidate?
- ☐ Have all letters been coded, on all copies?
- ☐ If the letters were sent via email, is a copy of the email and any attachment included?

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

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

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

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

III. Complete CV and Academic biography form.

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

IV. Copies of publications

- ☐ Has a representative sampling of publications been submitted?
- ☐ Have links to electronically submitted items been verified?
- ☐ If items cannot be submitted electronically, have arrangements been made with the Dean's office?

V. Start-up request information. (see RB I-18)

- ☐ Have all start-up issues been addressed?

Other considerations:

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

2. The Procedural Safeguard and Certification Statement is not used for new appointments. However, candidates for appointment, once appointed, do have the right to inspect non-confidential documents in their files and to have a redacted copy of the confidential academic review records contained in the personnel review file received pursuant to APM 220-80-i.
3. When putting forward a case for a non-resident alien (i.e. not currently a US Citizen or a Permanent Resident), the department is strongly encouraged to consult with the Office of International Students and Scholars at the time the offer is being considered to be assured that labor certificate processing deadlines are met.

I-22
DEPARTMENTAL CHECKLIST FOR ACADEMIC ADVANCEMENT
(Revised **7/19**)

This checklist is for the use of the Department Chair, and should not be submitted with the case.

The Department Chair has the responsibility to see that each of the following steps is completed at the appropriate time during any personnel review. **A copy of this checklist must be given to the candidate at the beginning of his or her review.**

All documents included in the case must be relevant to the action under consideration (APM 200-30) and must be in compliance with University and Campus policy and practice relating to confidentiality.

I. Notifying The Candidate

Note: These steps should be taken as soon as possible after receipt of the eligibility list in which the candidate's name first appears.

- _____ 1) **Inform the candidate of his or her eligibility for advancement or appraisal.**
- _____ 2) **Inform the candidate of the UC criteria for advancement** as set forth in Section 210-1d and 220 of the APM. Include a full clarification of the concrete nature of materials relevant to those criteria, as commonly used in the candidate's department.
- _____ 3) **Inform the candidate of the UC review process** as set forth in APM 210-1d and 220. Include in your description both the role and character of higher reviewing agencies and the department's own customary modes of proceeding. Provide candidate with a copy of the Procedural Safeguard Statement.
- _____ 4) **Inform the candidate of UC policy regarding academic personnel records** as set forth in APM 160.
- _____ 5) **Inform the candidate of any other issues relevant to his/her personnel case.** Be sure to provide an opportunity for the candidate to ask questions regarding any aspect of the review procedures and of his/her case in particular.
- _____ 6) **Inform the candidate of the due date** for all pertinent information and material relevant to the criteria for advancement. Be sure to advise the candidate of the consequences of late submission of materials.
- _____ 7) **Inform the candidate if letters of evaluation are to be sought in his/her case and provide an opportunity for the candidate a) to suggest names of persons who might be solicited for such letters and b) to indicate in writing the names of persons who, for reasons set forth by the candidate (which may include personal reasons), might not be objective in their evaluation.** Also inform the candidate that the names of scholars writing outside letters who were originally suggested by the candidate, together with any requests not to select a potential evaluator, will be made part of the review file, and that a reasonable request for exclusion of outside evaluators will in no way jeopardize the candidate's case. The candidate should also understand that though such requests are made and honored regularly, there may be occasions when proper evaluation requires that they not be honored. Finally, the candidate should know that both the evaluator's academic stature and the extent, if any, of his/her association with the candidate (personal or professional) will affect how the evaluation is weighted.
- _____ 8) **In compiling the list of outside reviewers,** include a "reasonable number" (APM 220-80c) of the candidate's nominees, together with a "reasonable number" of letters from scholars who are not nominated by the candidate and who have not been closely associated with him/her either as colleagues, friends, or collaborators in research. At UCSB, a "reasonable number" is interpreted to mean "half of the letters". There should be adequate representation among the evaluators of University of California faculty members.

II. Developing The Recommendation

- _____ 9) **Solicit confidential extramural letters of evaluation** in cases of promotion to tenure, promotion to professor, merit from Professor V to VI, merit from Professor IX to Above Scale, advancement to Supervisor V and advancement to Lecturer SOE or Sr. Lecturer SOE.
- _____ 10) **Include with the case a sample copy of the letter used to solicit extramural letters** , 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.
- _____ 11) **Assemble all pertinent information** (publications, teaching evaluations, solicited letters, etc.) in accordance with instructions set forth in the Red Binder sections related to specific actions. Be sure to include the total record of accomplishments appropriate to the review period.
- _____ 12) **Provide the candidate with an opportunity to inspect all non-confidential documents included in the review file.** Candidates should be told that they have access to non-confidential material.
- _____ 13) **Provide the candidate with the opportunity to request a redacted copy of all confidential letters and documents included in the file without revealing the identity of the sources.** One set of the redacted material must also be included in the file.
- _____ 14) **Provide the candidate with an opportunity to include a written statement responding to or commenting upon material in the file.** This should be done in sufficient time to allow the candidate's response to be taken into account in the departmental letter.
- _____ 15) **Inform the candidate that, if at any later point new information is added to the file, he/she will be informed and given an opportunity to comment.**
- _____ 16) If an ad hoc review committee will be employed, explain the role and selection of this committee and the candidate's three options (Red Binder I-60).
- _____ 17) **Inform the candidate of his/her right to request a redaction of the ad hoc committee's letter and a copy of other reviewing agencies' reports** from the office of Academic Personnel at the conclusion of the review process.
- _____ 18) **Consult colleagues in accordance with departmental practice and the rules of voting rights and eligibility established in By-Law 55.**
(<http://www.universityofcalifornia.edu/senate/manual/blpart1.html#bl55>)
- _____ 19) **Write a letter of recommendation** in accordance with APM 220-80-e. Note in particular the requirement to present both supporting and opposing views. Be sure the letter is dated and signed.
- _____ 20) **Make the letter available for inspection by all departmental members eligible to vote on the case** or by a departmental committee or group established in accordance with APM 220-80-e. At this point any eligible faculty member who voted with the minority may include a "minority opinion" letter if they feel that the Departmental letter does not adequately address the opinion of the minority vote. A minority opinion letter must be submitted by the end of the inspection period to assure its consideration in the review process. All eligible faculty must be provided full access to this document. Any unresolved issues between the minority and majority opinions should be addressed in a Chair's confidential letter (Red Binder I-35)

III. Forwarding The Case

NOTE: These steps should be taken after the Departmental review of the case.

- _____ 21) **Inform the candidate orally or, if requested, in writing of the departmental recommendation, the departmental vote, and of the substance of the evaluations under each of the applicable review criteria.** Bear in mind that it is especially helpful for junior faculty to understand concerns regarding some particular aspect of their performance even if there was a strong vote of approval
- _____ 22) **Inform the candidate of his/her right to request a copy of the letter setting forth the departmental recommendation, including any minority opinions.** Identities of persons who were the sources of confidential documents are not to be disclosed and minority opinion letters should be provided in redacted format.
- _____ 23) **Inform the candidate of his/her right to make written comments, within 5 working days,** to the Chair or directly to the Dean regarding the departmental recommendation. A copy of these comments will be included in the file. If the comments are directed to the Chair, they will be made available for review by the voting faculty. Any unresolved issues between the candidate and the department evaluation should be addressed in a Chair's confidential letter (Red Binder I-35). If the comments are directed to the Dean, they will be included in the file at the time of the Dean's review and will be made available to other reviewing agencies but not to the department.
- _____ 24) **Check that the case, as packaged, is complete and properly formatted** (Red Binder I-31 for Dean's Authority merits, Red Binder I-35 for Expanded Review advancements).
- _____ 25) **Have the candidate fill out and sign the Procedural Safeguard and Certification Statement on-line through AP Folio.** Forward the case to the appropriate Dean's office.
- _____ 26) ***If an ad hoc is required*** for promotions to tenure, a Chair's Recommendation for Department Representative memo ***should*** suggest***ing*** up to three faculty members who are eligible to serve as departmental representative. The nominated faculty should: (1) have participated in the departmental review and voted on the case; (2) have familiarity with the research area of the candidate; and (3) be in residence during the quarter the case is likely to be considered. This memo is to be forwarded directly to the Associate Vice Chancellor of Academic Personnel and marked "Confidential." See Red Binder I-60 for sample memo format.

I-36
ACCELERATIONS
(Revised 9/21)

Departments should not hesitate to propose accelerated advancement to reward cases of superior performance where there is clear justification. When warranted, acceleration will typically occur during an on-time review, though in special cases it may occur through early advancement to the next step or rank. For on-time reviews, an adjustment in salary via an increase in an existing off-scale supplement may be proposed when the appropriate reward does not correspond to early advancement in step. Early advancement requires additional extraordinary achievements, prizes, or activities, in order to justify the acceleration in time. 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, and not necessarily by advancement in step, as described in Red Binder I-8 and I-44.

In formulating justifications for *accelerated* advancements, the department and reviewing agencies must first provide evidence that the candidate has met the requirements for a normal, one-step advancement, *commensurate with expectations for the normative time at step*, 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.

Examples of possible evidence of superior performance *are noted below. include but are not limited to: It is possible to be accelerated on the basis of achievements that do not fit into the listed examples; however, this is expected to be rare and must be justified by compelling evidence.*

- Achievement well above disciplinary/field norms in creative activities (such as research publication, exhibitions, or performance), with particular emphasis on research/creative activities in significant venues that would have an impact beyond normal expectations.
- *Extraordinary achievements in two or more areas of review, coupled with excellent performance in the other areas*
- Prestigious new awards or other such evidence of peer recognition for the impact of past creative work or teaching.
- ~~Extraordinary achievements in two or more areas of review, coupled with excellent performance in the other areas.~~
- *Extraordinary achievements and activities in DEI, exceeding normative expectations, within the areas of research/creative activities, teaching/mentoring, professional activities, and/or service.*

Acceleration at the time of a merit review must be based on activity during the period since the last review. Acceleration *in step* 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.

I-44
RETENTIONS
(Revised 4/19)

Although not automatic, it is campus practice to match an **active** 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-33 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.

III-12
PROFESSIONAL RESEARCH SERIES
(Revised ~~2/21~~)

I. Definition

The titles in this series are given only to those who engage in independent research equivalent to that required for the Professor series. Individuals whose duties are defined as making significant and creative contributions to a research project, or to providing technical assistance to research activity should not be appointed in this series. For use of the Visiting prefix with this series, see Red Binder III-23. Represented employees in this series are governed by the applicable Memorandum of Understanding (MOU.) Article 21 of the MOU provides guidance specific to the Professional Research series.

II. Ranks and Steps

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

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

III. Appointment and Advancement Criteria

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

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

An individual who currently holds a Research series appointment at UCSB and participates in research activities in a department or program in which he/she does not hold a salaried appointment may receive affiliated status in the host department or program.

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

IV. Term of Appointment

- A. Service as Assistant Researcher is limited to eight years of service. Six months or more of service within any fiscal year, either paid or without salary, as an Assistant Researcher or Visiting Assistant Researcher counts towards the eight-year limit.
- B. Appointments or reappointments are to be made based on the service limitations indicated in Red

Binder III-1 and, for represented employees, in the MOU.

V. Compensation

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

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

- B. In most cases, a Research series appointment will be a salaried position. Without salary status may be appropriate for short periods of time, for example if the Researcher is self-funded as a PI or co-PI. A without salary appointment in this series is not appropriate if the individual holds a primary affiliation with and is funded by another academic institution or outside agency.
- C. Salaries are subject to range adjustment.
- D. Each source which provides compensation for service in this series must permit research.
- E. Off-scale salaries are allowed within the same limits and policies as ladder faculty off-scale salaries. (Red Binder I-8)

VI. Requests for Appointment, Reappointment, and Advancement

Appointment

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

Reappointment

Reappointments are to be submitted via the reappointment and modification module of AP Folio.

Advancement: Merit and Promotion

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

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

Requests for deferral of non-mandatory reviews must be submitted by the deadline established by the department. Appointees in the Research series must undergo a performance review at least once every five

years, including an evaluation of the researcher's record in all review areas. This review may not be deferred. If the candidate does not turn in materials by the departmental due date, the department will conduct the review based on the materials available in the department as of the due date.

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

Chair/Director Letters of Recommendation

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

Bio-Bibliography

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

External Evaluation

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

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

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

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

For promotion cases add: In assessing the academic record of the candidate, please keep in mind the significant disruptions the University experienced as a result of COVID-19. In March of 2020, just as the Winter Quarter was ending, the UCSB campus was closed and our faculty rapidly transitioned to remote work. All campus research facilities including labs and libraries were

closed; travel was halted; access to external facilities and archives ceased; and opportunities for professional engagement and visibility were restricted.

At the same time, many employees had to provide fulltime childcare or dependent care, as our local daycares and other facilities closed. Some had to work and teach in home environments that presented significant technical and logistical obstacles.

It is our expectation that these unprecedented circumstances be taken into consideration in the evaluation of _____'s contributions since Winter 2020. Although our standards for quality and excellence have not changed, we wish to be realistic about the constraints that employees experienced during this difficult time, and the impacts and consequences of these limitations on research, even after a return to more normal activities

[When appropriate in promotion to **Associate Researcher** cases, add: UCSB encourages its faculty members to consider extensions of the **pre-tenure eight-year service limitation** period under circumstances that could interfere significantly with development of the qualifications necessary for **advancement** tenure. Examples of such circumstances may include birth or adoption of a child, extended illness, care of an ill family member, or COVID-19 related hardship. 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.]

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

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

For promotion cases add: In assessing the academic record of the candidate, please keep in mind the significant disruptions the University experienced as a result of COVID-19. In March of 2020, just as the Winter Quarter was ending, the UCSB campus was closed and our faculty rapidly transitioned to remote work. All campus research facilities including labs and libraries were closed; travel was halted; access to external facilities and achieves ceased; and opportunities for professional engagement and visibility were restricted.

At the same time, many employees had to provide fulltime childcare or dependent care, as our local daycares and other facilities closed. Some had to work and teach in home environments that presented significant technical and logistical obstacles.

It is our expectation that these unprecedented circumstances be taken into consideration in the evaluation of _____'s contributions since Winter 2020. Although our standards for quality and excellence have not changed, we wish to be realistic about the constraints that employees experienced during this difficult time, and the impacts and consequences of these limitations on research, even after a return to more normal activities

For appointment to Researcher, Step VI through Step IX, the following wording should be inserted as appropriate:

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

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

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

For merit cases add: In assessing the academic record of the candidate, please keep in mind the significant disruptions the University experienced as a result of COVID-19. In March of 2020, just as the Winter Quarter was ending, the UCSB campus was closed and our faculty rapidly transitioned to remote work. All campus research facilities including labs and libraries were closed; travel was halted; access to external facilities and achieves ceased; and opportunities for professional engagement and visibility were restricted.

At the same time, many employees had to provide fulltime childcare or dependent care, as our local daycares and other facilities closed. Some had to work and teach in home environments that presented significant technical and logistical obstacles.

It is our expectation that these unprecedented circumstances be taken into consideration in the evaluation of _____'s contributions since Winter 2020. Although our standards for quality and excellence have not changed, we wish to be realistic about the constraints that employees experienced during this difficult time, and the impacts and consequences of these limitations on research, even after a return to more normal activities

VII. Approval Authority

Action

Authority

All actions

Associate Vice Chancellor for Academic Personnel

IV- 6
TEACHING ASSISTANTS
(Revised **11/15**)

The policies on this series are set forth in Academic Personnel Manual (APM) 410 and the Memorandum of Understanding between the University and the UAW. At UCSB, the application of this policy is outlined in the following:

I. Definition

A teaching assistant is a registered UC graduate student in full-time residence, chosen for excellent scholarship and for promise as a teacher, and serving an apprenticeship under the supervision of a regular faculty member.

II. Appointment Criteria

- A. The basic criteria for appointment are embodied in the definition of the series. In addition, appointees to the Teaching Assistant title are subject to all eligibility requirements listed in Red Binder IV-1.
- B. 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.
- C. Master's students must be within the four year time limit set for the master's degree as stated in Academic Senate Regulation 300A .
- D. Students must be certified as having language proficiency in spoken English if their native language is not English. Additional details are available on the Graduate Division web site.
- E. After a year or more of graduate work, the graduate record will be substituted for the candidate's undergraduate record in appraising scholarly performance.

III. Terms and Conditions of Employment

- A. The Teaching Assistant is responsible for conducting a lecture, laboratory, or quiz section under the active tutelage and supervision of a regular member of the faculty to whom final responsibility for the course's entire instruction, including the performance of teaching assistants, has been assigned.
- B. A Teaching Assistant is not responsible for the instructional content of a course, for selection of student assignments, for planning of examinations, or for determining the term grade for students. The Teaching Assistant is not to be assigned responsibility for instructing the entire enrollment of a course or for providing the entire instruction of a group of students enrolled in a course.
- C. Occasionally an experienced Teaching Assistant may be assigned other or additional duties such as coordinating other TAs, developing pedagogical content (e.g., for labs or discussion sections), ensuring consistent grading across multiple TAs, or responding to individual student requests for DSP or other accommodations. These duties may be attached to a specific course or to a group of related courses. Individuals performing these duties may be given the working title of "lead TA"
- D. Appointments as a Teaching Assistant are subject to the limitations of service described in Red Binder IV-1.
- E. A Teaching Assistant with an appointment of 50% or less may not be assigned a workload of more than 220 hours in a quarter, 40 hours in any one week, or 8 hours in any one day. The number of hours in excess of 20 hours per week may not total more than 50 hours per quarter.

IV. Personnel Actions

- A. Appointment as a Teaching Assistant is for one academic year or less, and is self-terminating. The employee must be informed of the following: *"This appointment is contingent on the appointee being a registered graduate student in good standing for the duration of the appointment"*.
- 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 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/>
- C. 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~~/~~18~~
 - Appointment at above 50% time
- D. Any changes to the appointment must be communicated to the appointee in writing.

V. Supervision and review

The selection, supervision and training of all student-teachers is an important responsibility of the teaching department, and in particular of the department chairperson. All candidates for appointment and reappointment should be subject to careful review and recommendation, either by the department as a whole or by a responsible committee.

In order to ascertain the quality of the teaching assistant's work and to make improvements when necessary regular review is necessary. The faculty member with responsibility for the course should periodically visit the lecture and laboratory sections of the course to gain a basis for appropriate review.

Written evaluation of the teaching assistant should be provided by the overseeing faculty member on a quarterly basis. These evaluations should be included in any consideration for reappointment.

VI. Compensation

- A. Individuals appointed to this title are compensated at the published Teaching Assistant rate on the Academic Salary Scales at the 1/9th rate.
- B. Salaries are subject to range adjustment.
- C. "Lead TA" duties are to be compensated at the Teaching Assistant rate. The percentage of appointment in the TA title should be proportionate to the hours of work needed to perform all Teaching Assistant duties.
- D. A graduate student who is appointed as a Teaching Assistant for 25% time or more during an eligible academic quarter will qualify for partial fee remission and payment of student health insurance.

VII. Approval authority

Action

All normal actions and exceptions other than those listed below

Authority

Department Chair, with Graduate Division post-audit

Students on Academic Probation Dean, Graduate Division
 Appointment over 75% time
 Employment beyond ~~15~~ **18** quarters
 Four or more quarters beyond time to degree

VI-3
SICK LEAVE
(Revised 2/24)

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

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

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

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

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

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

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

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

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

F. Sick leave that is granted for a serious health problem, or to care for a parent (*including parent-in-law*), child, spouse, domestic partner, *grandparent, grandchild or sibling* with a serious health problem may also be covered as a Family and Medical Leave (APM 715 or the applicable MOU.) Family and Medical leave will normally run concurrently with approved sick leave.

G. Represented academic employees are eligible for medical leave to the extent allowed in the appropriate MOU and applicable state and federal law.

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

VI-4
CHILDBEARING LEAVE AND PARENTAL LEAVE
(Revised 9/21)

- A. Academic appointees are eligible for childbearing and parental leave as guaranteed by applicable state and federal law, including but not limited to, the Federal Family and Medical Leave Act (FMLA), the California Family Rights Act (CFRA), and the California Fair Employment and Housing Act (FEHA). In addition, the University provides leave benefits as follows:
- B. An academic appointee who accrues sick or vacation leave shall be granted childbearing leave with full pay to the extent of ~~her~~ **their** sick or vacation leave balance. Childbearing leave ~~may be~~ may also be covered as a Family and Medical Leave (APM 715). Family and Medical leave, if applicable, will normally run concurrently with approved childbearing leave.
- C. An academic appointee who does not accrue sick leave and who has served in their-title or any faculty title for at least one year will receive full pay for up to 8 weeks during the period of time they are unable to assume their normal University obligations due to the birth of a child.
- D. An academic appointee who does not accrue sick or vacation leave and who has served in their title for less than one year will receive full pay for approximately the period that would be accrued during the appointment in accordance with the accrual rates in APM 710-18. If additional time is needed, leave without pay will be granted for the necessary period. However, members of the Academic Senate will be covered by C) above, regardless of length of service.
- E. Academic appointees are eligible for Pay for Family Care and Bonding (PFCB) for up to eight weeks at 70% pay. To have PFCB applied, approved leaves must meet eligibility criteria and be formally designated under FMLA and/or CFRA..
- F. Academic appointees are eligible for parental leave for purposes of carrying out childbearing and/or childrearing responsibilities. Whenever possible, parental leaves should be requested at least three months in advance. Parental leave without pay may be granted for up to one year to any academic appointee for the purpose of caring for a child. Normally, this unpaid leave, when combined with childbearing leave and/or Active Service Modified Duties, shall not exceed one year for each birth or adoption. A leave cannot be approved beyond the end date of the appointment.
- G. Requests for childbearing leave or parental leave must be submitted via the on-line leave module in AP Folio and are subject to approval by the Dean or Associate Vice Chancellor for Academic Personnel. A childbearing leave request should include a statement of the projected delivery date. The period of the leave may be adjusted as necessary after approval.
- H. Represented academic employees are eligible for childbearing leave to the extent allowed in the appropriate memorandum of understanding and applicable state and federal law.
- I. Graduate Student Researchers are eligible for up to six weeks of paid leave for pregnancy, childbirth, or related medical conditions for the period prior to, during, and after childbirth and up to two additional weeks of unpaid leave for baby bonding. The total period of combined paid pregnancy, childbirth, medical, and sick leave (Red Binder VI-3 H) may not exceed six-weeks within an academic year.

VI-5
ACTIVE SERVICE- MODIFIED DUTIES
(Revised 9/20)

- A. Periods of Active Service-Modified Duties, with pay, shall be granted on request to any academic appointee who is responsible for 50 percent or more of the care of an infant for the period before and/or immediately following a birth, or adoption of a child under age five, in order that the parent can prepare and/or care for the infant or young child. Active Service-Modified Duties is not a leave, but rather a reduction of duties. Eligibility for Active Service- Modified Duties will normally extend from 3 months prior to 12 months following the birth or placement. The period of Active Service-Modified Duties must be concluded within 12 months following the birth or placement. During this period normal duties shall be reduced. For represented non-senate faculty, the accommodation may involve the assignment of additional resources. Duties to be assumed during this period shall be arranged between the Department Chairperson and the appointee.
- B. For appointees who do not accrue sick leave, periods of Active Service-Modified Duties at full pay shall be granted upon request.
- C. For appointees who accrue sick leave, periods of Active Service-Modified Duties shall be granted upon request. Sick leave shall be used in proportion to the reduced work-load. If sick leave credit has been exhausted, there shall be an appropriate reduction in pay.
- D. Requests for periods of Active Service-Modified Duties are submitted online via the Leave module in AP Folio. The following must be included in the text box of the request:
 - a. A statement by the academic appointee certifying that they have 50 percent or more of the responsibility for the care of an infant or young child.
 - b. Specific detail regarding the duties to be performed and/or the duties from which will be released during the period of ASMD-
- E. An individual other than the ~~birth mother~~ childbearing appointee will be eligible for up to 12 weeks (fiscal year appointee) or one quarter (academic year appointee) of Active Service-Modified Duties for each birth or adoption. The ~~birth mother~~ childbearing appointee will be eligible for up to 36 weeks (fiscal year appointee) or three quarters (academic year appointee) of Active Service-Modified Duties, or childbearing leave plus Active Service-Modified Duties.

VI-14
EXTRAMURALLY FUNDED RESEARCH
(Revised 9/21)

Payment During the Academic Year

During the academic year a faculty member may not use grant funds to earn in excess of his or her regular 100% salary. The faculty member may, however, with the permission of the Chair and Dean, use the grant funds in place of a portion, or all, of his or her regular state funded salary for a limited amount of time. This is called a release to grant, it is **not additional compensation**. If the release is for 50% time or more, the salary being paid from the grant funding must be paid under a Professional Research title, rather than the Professor title. Payments are made on the same basis and at the same pay rate as the Professor appointment (9/12). The earn code used is REG. A release for less than 50% time may be managed via a funding change in the Professorial position in UCPath.

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

Payment during the summer:

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

Funding restrictions:

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

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

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

VII- 7
SUPPLEMENTAL INFORMATION ON ACADEMIC ADVERTISING
(Revised ~~11/16~~)

I. General

The Office of Equal Opportunity & Discrimination Prevention, whether the advertising source is free or for a fee, must approve all academic advertisements.

Responsibility for the cost and placement of ads with vendors, distribution of advertisement flyers, etc., is the responsibility of each hiring department. Deans or control points may allocate funds to departments for the purpose of advertising. Costs beyond those allocations are the responsibility of the department.

All academic position advertisements are posted on UC Recruit.

II. Basic Elements of an Advertisement

1. Name of campus department and the academic program where the vacancy is located
2. Job Number–Assigned by UC Recruit at the time the *search plan for the* position is ~~posted~~ *created*.
3. Expected recruitment type (external or internal search)
4. Expected hire type (single, multiple, or pooled recruitment)
5. The level of the position if determined (e.g., Assistant, Associate, Open). For Senate faculty positions the level of the position listed in the ad must reflect the approved level of the provision.
6. The area of specialization/research–Preference or emphasis for a particular area of specialization can also be included. For Senate faculty positions the area must reflect the approved area of the provision.
7. The ~~effective~~ *expected start* date of the position (e.g., effective July 1, 20~~22~~*04*; or effective 20~~22-23~~*01-02*)
8. Requirements–List any educational or other academic degree requirements if applicable. Care should be taken to clearly identify required basic qualifications from additional or preferred qualifications for the position.
9. Specify what constitutes a complete application. Departments may wish to request items such as the following:
 - a curriculum vita
 - statement of research interests
 - samples of published work
 - number of references required and the manner by which a letter of recommendation is obtained.
10. Specify a deadline for receiving applications. Whenever possible, Senate faculty searches should set an application deadline between November 15 and December 31. Application deadlines later than February 1 should be avoided when anticipating a July 1 start date. Departments should be mindful of the AAU recruitment deadline of April 30, and the Intercampus deadline of April 1 (APM 500-16).
11. The following wording must be included in each ad:
 - “The University is especially interested in candidates who can contribute to the diversity and excellence of the academic community through research, teaching and service as appropriate to the position.” In addition, the advertisement must end with: “The University of California is an Equal Opportunity/Affirmative Action Employer. All qualified applicants will receive consideration for employment without regard to race, color, religion, sex, sexual orientation, gender identity, national origin, disability status, protected veteran status, or any other characteristic protected by law.”
 - *As a condition of employment, you will be required to comply with the University of California SARS-CoV-2 (COVID-19) Vaccination Program Policy https://policy.ucop.edu/doc/5000695/SARS-CoV-2_Covid-19. All*

Covered Individuals under the policy must provide proof of Full Vaccination or, if applicable, submit a request for Exception (based on Medical Exemption, Disability, and/or Religious Objection) or Deferral (based on pregnancy) no later than the applicable deadline. New University of California employees must (a) provide proof of receiving at least one dose of a COVID-19 Vaccine no later than 14 calendar days after their first date of employment and provide proof of Full Vaccination no later than eight weeks after their first date of employment; or (b) if applicable, submit a request for Exception or Deferral no later than 14 calendar days after their first date of employment. (Capitalized terms in this paragraph are defined in the policy.) Federal, state, or local public health directives may impose additional requirements.