

May 1, 2024

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

FROM: Helly Kwee, Associate Director  
Academic Personnel

RE: Issuance of Red Binder updates

A number of final revisions to the Red Binder, the campus Academic Personnel policy and procedure manual, have been posted on the Academic Personnel website, with an effective date of May 2024. Substantive changes include updates reflecting the most recent bargaining agreements for represented academic employees. In addition, gendered language has been removed throughout the Red Binder and other minor technical updates have been addressed. A summary of all 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

III-9	updates to document submission checklist
III-17	PX contractual changes
IV-1	BR and BX contractual changes
IV-3, IV-6, IV-8, IV-9	BX contractual changes
IV-10, VI-6, VI-8, IX-20, IX-25	BR contract implementation
I-20, I-25, II-14, II-25, V-2, V-11, V-20, V-28, V-31, VI-9, VIII-8, VIII-11, IX-15, IX-30	remove gendered language
V-17	Include new advancement methodology for faculty
VI-15	updated link and instructions for intercampus appointments
III-8, III-12, III-14, III-16	Change terminology from special step to overlapping step. Update references to bio-bib process

I-20  
**REMOVAL EXPENSES**  
(Revised 04/18)

Removal expenses may be provided for certain new appointees to academic positions (APM 560-14). For those eligible, removal expenses are paid and taxed in accordance with University and IRS regulations. New appointees are encouraged to consult with their tax advisor regarding the impact of removal reimbursement. Any exceptions to policy, including full removal expenses, must be requested at the time of appointment.

UC Policy (one-half of the total cost)

University policy allows for coverage of one-half of the total eligible costs associated with a single move from one physical location, including the following:

1. Packing, freight and insurance of normal household goods (see definition below), when properly supported by invoices and/or receipts, in accord with Section V of UC Policy BFB-G-13: Policy and Regulations Governing Moving and Relocation.
2. Air coach transportation for the appointee and members of the household or an equivalent amount for other travel in accordance with standard airline fare policies and University travel regulation.
3. Meals en route for the appointee and members of the household in accordance with University travel regulations. If travel is by automobile, the cost of meals is an allowable expense only to the extent that might have been necessary if travel had been by air coach.

An appointee may have the total cost of removal of his/her/their personal library covered, but only if the library is to be made generally available to students and faculty; otherwise coverage is one-half of the total cost. It will be necessary for the involved appointee to secure from his/her/their moving company a breakout of the shipping costs for the portion of the shipment that is for library-related materials. Without this estimate, only 50% coverage will be allowed.

Household goods include: personal property such as furniture, clothing, musical instruments, household appliances, and other items which are usual and necessary for the maintenance of a household.

Full Removal

An exception to allow for full removal coverage may be requested by the Department at the time the start-up commitment is request. If full removal is provided, all reasonable removal costs will be covered for a single move, in accord with UC Policy BFB-G-13: Policy and Regulations Governing Moving and Relocation and subject to the following conditions.

Appointees receiving 100% removal will have travel for themselves and members of the household made on the lesser of one-way coach fare, or actual expenses (airfare or mileage reimbursement, lodging, and meals en route) at UC allowable rates per G-28, Policy & Regulations Governing Travel and G-13, Policy & Regulations Governing Moving and Relocation. Receipts will be required. If, for personal reasons, an indirect route is traveled or the trip is extended, coverage shall be based only on such charges as would have been incurred by the usually traveled route. All appointees must purchase the least expensive air tickets to the Santa Barbara area.

Prospective employees should be aware that costs for the following cannot be covered:

- transport of trailers, boats, other motorized recreational vehicles, or more than two motor vehicles
- transport of belongings related to commercial enterprises engaged in by the employee
- transport of building materials
- transport of animals other than household pets
- assembly and disassembly of unusual items such as, but not limited to, satellite dishes, storage sheds or pool tables.

- Canned, frozen or bulk foodstuff.
- Plants

Advance approval will be required for coverage of costs associated with a move from more than one physical location (a staged move) or any other exception to policy.

**PROCEDURAL SAFEGUARD AND CERTIFICATION STATEMENT  
INSTRUCTIONS TO THE CHAIR**

(Revised ~~7/19~~)

The Procedural Safeguard and Certification Statement (Safeguard Statement) has been designed to follow the actual steps taken when a candidate is being considered for a personnel action. It is important for the Department Chairperson, as well as for the candidate, to note how each step leads to the forwarding of a recommendation to the administration. For example, the difference between Number 9 and Number 12 on the Safeguard Statement is a matter of timing. Number 9 occurs before the department meets and votes on the case. Therefore, written comments by the candidate under Number 9 would refer to materials on which the case is based and would be routinely considered by the department before the vote is taken. Written comments submitted by the candidate under Number 12 would refer to the recommendation after the department review and could be supplied to the Chair or sent directly to the Dean, who normally will ask the Department for comment.

It is advisable for the Chair to provide a copy of the Procedural Safeguard Statement to a candidate prior to the initiation of a personnel review, so that the candidate is apprised of the steps and safeguards built into the process. The sample Safeguard Statement (Red Binder I-26) may be used for this purpose. The candidate should also be informed that signing the Safeguard Statement does not imply concurrence with the departmental recommendation. It only provides a record of the procedures that were followed in the review of the case. If the candidate feels that all procedures were not appropriately followed, the department should attempt to rectify the problem. If the candidate continues to feel all procedure were not followed, they may submit a separate memo stating specifically which procedures were not followed. The memo will be added to the case along with the signed safeguard statement.

For individuals holding joint appointments, a separate Safeguard must be completed for each department. In the rare case that a department, based on their stated voting procedures, defers to the majority percentage department, a Safeguard Statement will be required for the majority percentage department.

The Procedural Safeguard Statement is to be completed by the candidate via AP Folio and, must be forwarded as part of the departmental personnel case per Section 220-80-c of the Academic Personnel Manual (APM). If in the case of a mandatory review it is impossible to obtain this document, the chairperson should explain the situation and indicate in what manner ~~he/she has~~ *they have* attempted to meet the requirements outlined in the form.

In addition, if any of the following documents have been supplied to the candidate or by the candidate, they must be included in the personnel case when forwarded to the administration:

1. Redaction of confidential documents in the file (7A).
2. Candidate's written statement commenting on material in the file (9).
3. Candidate's written comments regarding the departmental recommendation (12).

In addition to the documentation of the safeguards assured under APM 220-80-c, the Safeguard Statement also allows the following:

- Provides the faculty member the opportunity to elect release of reviewing agency reports to themselves and/or to the department chair at the conclusion of the review.
- Documents that annual reports on outside professional activity have been submitted as required by APM 025.
- Documents that the faculty member attests to the completeness and accuracy of the bio-bibliography included with the case.

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

(Revised 2/23)

*All personnel review cases are submitted via AP Folio*

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

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

- Are the effective date and recommended salary clearly stated?
- Is the letter an accurate, extensive, and **analytical** representation of the case?
- Is the final departmental vote included (e.g. 10(yes)-0(no)-0(abstentions)-3(not voting))? Is there an indication of how many were eligible to vote?
- If the case contains extramural letters, are letter writers identified **only** by coded list, with no identifying statements?
- Are all areas of review covered: performance in instructional duties, academic responsibility and other assigned duties?
- If there is a recommendation for an acceleration, are the reasons for the acceleration specifically stated?
- Is all relevant information from the Departmental letter accurately entered on the case up-load screen?

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

- Have all letters been coded, on all copies?
- If the letters were sent via email, is a copy of the email and any attachment included?
- Was the proper wording used in the solicitation letter (Red Binder I-50)?
- If different versions of either the letter or the materials went out, is a sample of each included?
- Is a Coded list of referees, along with a brief biography of each included with the case?
- Do the codes on the letters match the codes on the list and the codes used in the departmental letter?
- Does the list clearly indicate if the referees were candidate suggested, department suggested, or independently suggested by both?
- Is a copy of the redacted letters given to the individual included?

**III. Complete CV**

- Is the CV up to date?
- Have all links to supporting documents and one-of-a-kind items been verified?

**IV. Self-assessment of other accomplishments and activity**

- Has the self-reflection/self-statement/self-evaluation of the candidate's performance, teaching objectives, and teaching activities been included in the case?

**V. Safeguard Statement**

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

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

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

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

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

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

- Are all materials identified as candidate submitted?
- Were all materials considered and evaluated as part of the departmental review?
- Have all links to supporting documents been verified?

II-25  
**DOCUMENTS TO BE SUBMITTED BY THE CHAIR**  
**CONTINUING EDUCATORS**  
(Revised 9/21)

**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?
  - Have all links to supporting documents been verified?
- 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. **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?
- Have all links to supporting documents been verified?

### 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~~ **they have** 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. **Supportive documentation**

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



III-8  
**TYPES OF REVIEW**  
(Revised 5/17)

On-time merit advancement

A merit action is considered on-time when the departmental recommendation is for a normal advance in step that does not increase or decrease the off-scale salary supplement and does not involve a special *an overlapping* step or mandatory review. For individuals paid at the UCSB minimum rate, on-schedule advancement will be to the next step at the UCSB minimum rate

On-time merit advancement at the Assistant and Associate levels occurs after two years at step, and at the Full level after three years at step.

The Associate Vice Chancellor for Academic Personnel has approval authority for all advancement actions.

Other reviews

I. **Accelerated actions**

Departments should not hesitate to propose accelerated advancement to reward in cases where there is clear evidence of superior performance. 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. At the time of normative review, an increase in the off-scale supplement may also be recommended if an additional full-step acceleration does not appropriately reward the record. Early advancement to the next step or rank is the appropriate form of acceleration. The addition of, or an increase in, off scale supplement will also be considered an acceleration. Departments should review candidates performing at a superior level in advance of their normal eligibility for merit increase or promotion. The level of acceleration depends on the extent to which the record exceeds expectations. In no case for accelerated advancement may deficiencies be evident in any area of review.

II. **Decelerated actions**

A case will be considered decelerated if the candidate has been at the current step for longer than the normal years at step. At the time of normative review, an increase in off-scale salary only will also be considered a decelerated action. The departmental letter should give an explanation for the deceleration.

III. **Promotion to the Associate level**

Professional Research Series:

The principal criterion for promotion to Associate Researcher is superior intellectual attainment in research or other creative achievement. The most useful critical assessment of "superior intellectual attainment" 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 level of research independence expected for promotion to Associate Researcher is equivalent to the expectation of research independence for a ladder faculty member being promoted to Associate Professor. Promotion to Associate Researcher will normally take place at the beginning of the seventh year of service and must occur no later than the end of the eighth year of service.

Project Scientist and Specialist Series:

Advancement from Assistant Project Scientist to Associate Project Scientist requires competency and an expanding level of independence. Advancement from Assistant Specialist to Associate Specialist requires the candidate to provide independent input into the planning and execution of the research and have a record of academic accomplishments.

IV. **Promotion to Full**

Professional Research Series:

Promotion to Researcher requires an accomplished record of research that is judged to be excellent within the larger discipline or field. Superior intellectual attainment, as evidenced in research or other creative achievement, is an indispensable qualification for advancement to Researcher.

Project Scientist and Specialist Series:

Advancement to Project Scientist requires competency and an expanding level of independence.

Advancement to Specialist requires the candidate to provide considerable independent input into the planning and execution of the research and have a significant record of academic accomplishments.

V. **Merit to a special an overlapping step.**

Assistant Researcher V, Associate Researcher IV, Assistant Project Scientist V and Associate Project Scientist IV are "special" overlapping steps in the sense that these steps may be utilized for advancement when a candidate shows clear evidence of completed work that is likely to lead to promotion in the near future when published, but whose established record of accomplishment has not yet attained sufficient strength to warrant promotion. Service at the special an overlapping steps is in lieu of service at the first step of the next rank. Once advanced to a special an overlapping step, the normal progression is for promotion to the next rank. Further advancement within the special overlapping step will happen only in very rare and unusual circumstances. Upon advancement to a special an overlapping step, the candidate is eligible for promotion the following year. If promoted earlier than the normal years at step for Step I of the higher rank, promotion should be lateral and eligibility for future merit will be determined based on the combination of years at the special overlapping step and years at Step I at the higher rank.

VI. **Merit to or within Above Scale**

Advancement to Above Scale is reserved for scholars of the highest distinction whose work has received international recognition. Advancement to Above Scale will normally occur after at least four years of service at the highest step within the full level rank of the series with the individual's complete academic career being reviewed. The guidelines for Senate Faculty increase to and above Scale (Red Binder I-43) apply to Researcher above scale actions. Criteria for Above Scale advancements for Project Scientists and Specialists shall be consistent with the criteria established for each series.

VII. **Mandatory reviews**

Appointees at all levels must undergo a performance review at least once every five years. This review may not be deferred. Non-submission of materials by the candidate will not constitute automatic deferral in the case of a mandatory review. If the appointee 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.

Professional Research Series only:

VIII. **Terminal Appointments**

If, during a review of an Assistant Researcher, a preliminary decision is made for a terminal appointment, the procedures outlined in Red Binder I-39 must be followed. Appropriate notification and opportunity for response must be provided.

IX. **Merit to Researcher VI**

Advancement to Researcher VI is based on evidence of highly distinguished scholarship. In addition, great distinction, recognized nationally or internationally in scholarly or creative achievement is required for merit to Researcher VI. This is a career review and therefore is based on a review of the individual's entire academic career.

III-9  
**DOCUMENTS TO BE SUBMITTED BY THE CHAIR**  
**RESEARCH REVIEWS**  
(Revised 2/24 3/24)

All personnel review cases are submitted via AP Folio.

**I. Departmental letter of recommendation**

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

For All Cases:

- Are the listed 'current' and 'proposed' salary rates the total salary rate, inclusive of any off-scale supplement?
- If the salary is off-scale or above scale is it rounded to the nearest \$100?
- Is the off-scale supplement correct (if applicable), per off-scale general policies (RB I-8)?
- If a vote was taken, is the final departmental vote included (e.g. 10(yes)-0(no)-0(abstentions)-3(not voting))? Is there an indication of how many were eligible to vote? *Are any no votes explained if the reason is known?*
- If no vote was taken, is the review procedure (i.e., committee, chair/director review) explained?
- Is the letter an accurate, extensive, and **analytical** representation of the case?
- Are all areas of review covered: research; professional activity; and, university and public service as appropriate?
- If there is a recommendation for an acceleration, are the reasons for the acceleration specifically stated?
- In the case of a negative departmental recommendation, is the basis of the recommendation clearly documented?

For Career Reviews:

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

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

See Red Binder I-35 for further information.

- If a Chair's confidential letter is included is it* **Is the letter** clearly marked "Chair's Separate Confidential"?

**III. Safeguard Statement–**

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

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

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

- Is it in the proper format? (See Red Binder I-27)**
- Is the Research section a cumulative list of publications (or creative activities) with a line drawn separating all new items from where the bio bib from the last review case had ended?**
- Are the numbers the same as in the previously submitted bio-bib, and** Have items previously listed as "In Press", "Submitted" been accounted for?
- Are all items, including "In Press", "Submitted", and "In Progress" properly **numbered** *documented?*
- Are publications identified as "refereed" when appropriate?
- Have all links to supporting documents and one-of-a-kind items been verified?

V. **Extramural letters of evaluation and list of evaluators (RB I-46) for promotion to the Associate and full level as appropriate for the series (See RB III-12, III-14, III-16)**

**Extramural Letters**

- Are the required number of letters included, **when appropriate** (See RB III-12, III-14, III-16) ?
- Are at least half of the letters from references chosen by the Chair/Dept independent of the candidate?
- Have all letters been coded? Are the codes also on the redacted versions?
- If the letters were sent via email, is a copy of the email and any attachment included?
- If redacted copies of the letters were provided to the candidate, is a copy included (one copy only), and did **he/she/they** check box 6A on the Procedural Safeguard Statement?

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

- Was the proper wording used in the letter (RB I-49 to I-50, III-12, III-14, III-16)?
- Is a list of all informational items sent to referees (e.g. CV, bio-bib, publications sent, etc, per RB- 51) included? Is a copy of each item included as either part of the case or a one-of-a-kind item?
- If different versions of the letters or materials went out, is a sample of each included?

**List of Referees, including brief Biography and indicating who selected referees (RB I-46-V)**

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

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

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

VII. **Copies of publications.**

It is the responsibility of each candidate to maintain copies of published research or other creative work and reviews.

- Have all items included in Part I of the bio-bib for the current review period been submitted, including In Press and Submitted items?
- Has appropriate evidence been provided for In Press items?
- Do all of the titles on the actual publications match those listed on the bio-bib?
- For promotion to the Associate level, are all publications included?
- Have links to electronically submitted items been verified?
- If items cannot be submitted electronically, have arrangements been made with the Academic Personnel office?
  
- If any publications are missing from the file, is a note included noting which are missing and explaining why?
- For other career reviews (promotion to Full in any series, advancement to Researcher Step VI or Above Scale), are all publications since last review, and all or a representative sample of publications from the prior record included?

III-12  
**PROFESSIONAL RESEARCH SERIES**  
(Revised 2/24)

**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”) *an overlapping step*)
- B. Associate Research \_\_\_\_\_ I – IV (Step IV is considered a “special step”) *an overlapping 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 overlapping 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 they do 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. Final bio-bibs are generated by the online bio-bib system and are tailored to the specific series.**

### **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 Unit independent of the candidate. 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, with the following wording inserted as appropriate.

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 considers extensions of the eight-year service limitation under circumstances that could interfere significantly with development of the qualifications necessary for advancement. 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 ~~their~~ 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

III-14  
**PROJECT SCIENTIST SERIES**  
(Revised 9/21)

**I. Definition**

The titles in this series are given only to those who make significant and creative contributions to a research or creative project. Appointees may be ongoing members of a research team, or may contribute high-level skills to a specific project for a limited time. Demonstrated capacity for fully independent research or research leadership as required in the Researcher series are not required in this series. However, a broad range of knowledge and competency and a higher level of independence than appointees in the Specialist series are expected. See APM 311 for System Wide policy on Project Scientists. See Red Binder III-23 for procedures for Visiting appointments in this series. Represented employees in this series are governed by the applicable Memorandum of Understanding (MOU). Article 22 of the MOU provides guidance specific to the Project Scientist series.

**II. Ranks and Steps**

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

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

**III. Appointment and Advancement Criteria**

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

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

University and public service are encouraged but not required.

**IV. Term of Appointment**

- A. Appointments or reappointments are to be made based on the service limitations indicated in Red Binder III-1 and, for represented employees, in the MOU.
- B. There are no limits on service at any level in this series.

**V. Compensation**

- A. Individuals appointed to this series are compensated on the salary scales established for the Project Scientist series on a fiscal year (11 months) basis. The Economics/Project Scientist salary scale will be used when either:

- 1. The unit is an Engineering unit (departments and research units reporting to the Dean of Engineering) or the Department of 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 Project Scientist appointment will be a salaried position. Without salary status may be appropriate for short periods of time, for example if the Project Scientist is self-funded as a PI or co-PI. A without salary appointment is not appropriate if the individual holds a primary affiliation with and is funded by another academic institution or outside agency.
- 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 and Advancement**

### Appointment

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

### Reappointment

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

### Advancement: Merit and Promotion

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

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

Requests for deferral of non-mandatory reviews must be submitted by the deadline established by the department. Appointees in the Project Scientist series must undergo a performance review at least once every five years, including an evaluation of the record in all review areas. This review may not be deferred. If the candidate does not turn in materials by the departmental due date, the department will conduct the review based on the materials available in the department as of the due date.

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

The Chair/Director's letter of recommendation for appointment or advancement should include an evaluation of the candidate's record in all review areas (see III Appointment and Advancement Criteria, above). Each unit should establish set procedures for evaluation of Project Scientist appointments and advancements and development of the letter of recommendation. While review done solely by the Director

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

### **Bio-Bibliography**

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

### **External Evaluation**

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

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

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

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

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

## **VII. Approval Authority**

Action

All actions

Authority

Associate Vice Chancellor for Academic Personnel

III-16  
**SPECIALIST SERIES**  
(Revised 2/24)

**I. Definition**

The Specialist series is used for academic appointees who engage in specialized research, professional activity, and University and/or public service, and who do not have any teaching responsibilities. See APM 330 for System Wide policy on Specialists. Represented employees in this series are governed by the applicable Memorandum of Understanding (MOU) Article 26 of the MOU provides guidance specific to the Specialist series.

**II. Ranks and Steps**

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

**III. Appointment and Advancement Criteria**

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

The following qualifications are general guidelines for each rank:

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

**Assistant Specialist:** Appointees should possess expertise consistent with four to six years of training and/or experience in the relevant specialization. Appropriate qualifications would include possession of a master's degree (or equivalent degree) in a relevant discipline, or possession of a relevant baccalaureate degree (or equivalent degree) plus have three or more years of research experience. Appointees at this level enable research as part of a team and may provide some independent input into the planning and execution of the research.

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

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

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

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

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

#### **IV. Term of Appointment**

- A. Represented Junior Specialists may not be appointed at this rank for more than three years. There are no other limits on service at any other level in this series.
- 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 Specialist Series on a fiscal year (11 month) basis.

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

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

#### **VI. Requests for Appointment and Advancement**

##### Appointment

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

##### Reappointment

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

##### The following applies to Junior Specialists only:

Junior Specialists are normally appointed for a term not to exceed one year. Reappointment of up to one additional year is possible where warranted. An additional third year may be requested by exception, but under no circumstances may a Junior Specialist be appointed in the rank more than three years.

Junior Specialists do not undergo merit reviews. Automatic movement to Junior Specialist Step II will occur after one year at step I. Normal advancement will occur after one year at step II for promotion to Assistant Specialist.

##### Advancement: Merit and Promotion

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

guidance regarding Above Scale status.

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

Requests for deferral of non-mandatory reviews must be submitted by the deadline established by the department. Appointees in the Specialist series must undergo a performance review at least once every five years, including an evaluation of the record in all review areas. This review may not be deferred. If the candidate does not turn in materials by the departmental due date, the department will conduct the review based on the materials available in the department as of the due date

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

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

### **Bio-Bibliography**

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

### **External Evaluation**

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

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

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



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

**VII. Approval Authority**

Action

Authority

All actions

Associate Vice Chancellor for Academic Personnel

III-17  
**POSTDOCTORAL SCHOLARS**  
(Revised 9/18)

**I. Definition**

Postdoctoral Scholar appointments are intended to provide a full-time (100%) training program of advanced academic preparation and research training under the mentorship of a faculty member (defined as ladder faculty or professional researcher). System-wide policies regarding Postdoctoral Scholars may be found in APM 390 and the Memorandum of Understanding (MOU) for the Postdoctoral Scholar unit.

**II. Appointment Criteria**

Appointment to a Postdoctoral Scholar title requires a doctorate (e.g. Ph.D., M.D.) or foreign ~~its~~ equivalent at the time of appointment.

**III. Titles**

Postdoctoral Scholars may be appointed into the following titles:

- Postdoctoral Scholar- Employee (3252 ~~or 3255~~)  
Used when (1) the agency funding the salary requires or permits the appointee to be an employee of the University, or (2) whenever General Funds, Opportunity Funds or other University discretionary funds are used to support the position Payment for the appointment will be made via the University payroll system UCPath. This title is also used to supplement Fellow or Paid-Direct appointments when the external funding amount is below the required salary level. ~~3252 is used for exempt appointments and 3255 is used for non-exempt appointments.~~
- Postdoctoral Scholar- Fellow (3253)  
Used when the appointee has been awarded a fellowship or traineeship by an extramural funding agency that will be paid through a University account. The appointment in UCPath may be with salary or without salary (funds paid as a stipend) depending on the fund source.
- Postdoctoral Scholar- Paid Direct (3254)  
Used when the appointee is paid a fellowship or traineeship directly by the granting agency. Appointed without salary in UCPath.
- *Postdoctoral Scholar – Employee Non-Exempt (3255)*  
*Used when the assigned appointment percentage (FTE%) is less than full-time and as a result the take-home salary falls below the FLSA overtime-exempt salary threshold. The appointment is non-exempt and the appointee is paid hourly on a bi-weekly basis. (see FLSA FAQs)*
- Interim Postdoctoral Scholar-Employee (3256)  
Used when a UCSB graduate student has obtained their Ph.D. and needs a short-term appointment to complete an existing project from their degree program before moving on to other employment.

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

**IV. ~~III~~ Terms and Conditions of Employment**

- A. Appointment must be made at 100% time. Exceptions may be granted by the Associate Vice Chancellor for Academic Personnel in the following circumstances
- a) Personal health
  - b) Family responsibilities
  - c) Employment external to the University
  - d) To accommodate a temporary teaching appointment or *other University position* at UCSB

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

~~appointment percentage.~~

B. *Postdoctoral Scholar appointments are temporary and have fixed end dates.* The total duration of appointment in any combination of Postdoctoral Scholar titles, including *prior* postdoctoral service at other institutions (*both domestic and foreign*), may not exceed five years. *Under unusual circumstances, the University may grant a sixth and final year of appointment.*

C. Appointments will be for the durations specified in the MOU as follows:

1. Postdoctoral Scholar- Employee

- The initial appointment will be for a minimum of ~~one year~~ *two years.*
- ~~The first reappointment will be for a minimum of two years unless the initial appointment was for two years.~~
- Subsequent reappointments will be for a minimum of one year.

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

2. Postdoctoral Scholar- Fellow or Paid Direct

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

3. Interim Postdoctoral Scholar-Employee

- The appointment will be for ~~the duration needed to bridge to the next employment a~~ *minimum of three months at 100% FTE and a maximum of* ~~but may not exceed~~ one year.

~~D. Pursuant to *APM - 137-30-b*, it is within the University's sole discretion not to reappoint a Postdoctoral Scholar~~

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

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

- Initial Appointments

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

- Reappointments

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

- Modifications

1. For a Postdoctoral Scholar Fellow or Paid Direct, an updated copy of the external funding agency's award letter and guidelines.
2. For a reduction in time, appropriate documentation supporting the reason for the reduction *including the Postdoctoral Scholar's written request to the PI/Supervisor for a temporary reduction.*

~~B. The formal offers Notice of Appointment letter) of employment may be extended to the candidate prior to conferral of the Ph.D. however such offers are contingent on conferral of the Ph.D. prior to the start date of the appointment.~~

C. ~~B.~~ The completed ~~form and appropriate attachments~~ *documents* ~~should~~ *must* be submitted to Academic Personnel at least ~~a month~~ *45 days* prior to the start date of the appointment, reappointment or modification.

D. ~~C.~~ Upon notification of approval of the action from Academic Personnel, the Department must provide the Postdoctoral Scholar with the *formal Written Notice of Appointment letter (WNA)* ~~an appointment letter using the sample found at~~ <https://ap.ucsb.edu/resources-for-department-analysts/postdoctoral-scholar-appointments/> along with appropriate attachments. *Notification shall occur as soon as practical, but no later than seven calendar days following the start of appointment, or thirty calendar days prior to the start of reappointment.*

*The WNA may be extended to the candidate prior to the conferral of their Ph.D., however such offers are contingent on conferral of the Ph.D. prior to the start of the appointment.*

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

F. ~~E.~~ *The Hiring Department/Unit shall retain copies of the appointment, reappointment, and modification documents in the appointee's personnel file.*

## VI. ~~V.~~ Compensation

A. All Postdoctoral Scholars must be paid at or higher than the minimum *salary rate* for their experience level, as indicated on the posted salary scale (Salary Scale 23/23N). If an extramural granting agency will provide less than the minimum salary for the experience level, the faculty mentor must arrange additional funding prior to the ~~beginning date of the~~ *start of* appointment in order to provide the minimum salary.

B. When a Postdoctoral Scholar- Fellow or Paid Direct requires salary supplementation as described in A., the supplement will be paid using the Postdoctoral Scholar-Employee (3252) title.

C. *All months of prior postdoc service will be counted towards the placement of the Postdoctoral Scholar at their initial experience level. This includes prior postdoctoral service at other institutions (both domestic and foreign),*

D. ~~C.~~ Movement to the next experience level pay rate ~~must occur no later than the anniversary date of the Postdoctoral Scholar's original appointment date.~~ *will occur based on the following time frames:*

- *Postdoctoral Scholars with an initial start date between October 1 through April 1 will move to the next experience level on October 1 of each year*
- *Postdoctoral Scholars with an initial start date between April 2 through September 30 will move to the next experience level on April 1 of each year*

E. Postdoctoral Scholars who are already above the new experience level rate ~~must~~ *shall* receive ~~either at least a 2% 3% minimum salary increase on their anniversary date or be placed on their next experience level minimum, whichever is the higher rate.~~ *When the anniversary date occurs mid-appointment, the Postdoctoral Scholars Mid-Appointment Salary Increase form is to be completed and submitted to Academic Personnel for approval of the increase.*

F. ~~D.~~ Mid-year salary increases are allowed but do not negate the mandatory *salary* increase on the Postdoctoral Scholar's ~~anniversary date.~~ *next experience level increase date.*

## VII. ~~VI.~~ Benefits

A. *As a condition of appointment, Postdoctoral Scholars must have adequate health insurance coverage for the duration of their appointment.*

B. *Postdoctoral Scholars in all titles must have an appointment at 100% for a minimum of three months or at 50% or higher for twelve months to be eligible to participate in the Postdoctoral Scholar Benefit Plan (PSBP). NOTE: Postdoc Interim (3256) must have a 3-month appointment at 100% FTE to qualify for PSBP.*

*PSBP includes medical, vision, life AD&D, short-term disability, and voluntary long-term disability coverage.*

*C. Postdoctoral Scholar Employees (3252) are required to contribute to the University of California Defined Contribution Plan (DCP) as Safe Harbor participants and pay Medicare taxes, and are not eligible for membership in the University of California Retirement Plan (UCRP). However, they are eligible to enroll and make contributions to any of the Voluntary University of California Savings Program plans.*

*D. Postdoctoral Scholars in all titles may receive reimbursement of allowable child-care related expenses in accordance with the Childcare Article of the MOU.*

*For Fellows and Paid-Directs: Any childcare reimbursement provided by the extramural funding agency shall satisfy the requirements of the program and the amount shall be deducted from the annual maximum reimbursement amount. If the extramural funding agency provides for a greater childcare reimbursement amount than the MOU, the Fellow/Paid-Direct shall receive the full amount from the extramural funding agency and not have access to the childcare reimbursement program.*

*The Postdoctoral Scholar completes and submits the [Childcare Reimbursement Request Form \(UBEN 255\)](#) along with appropriate documentation to the hiring department for the reimbursement. Additional information regarding eligibility and the reimbursement process can be reviewed on the [Postdoc Childcare Reimbursement Program Factsheet](#)*

## VIII. ~~VI.~~ Leaves

A. Postdoctoral Scholars are eligible for 12 days of Sick Leave per twelve-month appointment period. All 12 days of leave are available for use effective the first day of the appointment. Any balance remaining at the end of an appointment period is to be carried forward to any subsequent Postdoctoral appointment or other University appointment that provides sick leave. A Postdoctoral Scholar who is reemployed after a separation shall have *part of or all sick leave accrual with a break of less than six months will have sick leave reinstated* in accordance with Article 23, *Section A.3.* of the MOU.

~~B.~~ Postdoctoral Scholars are eligible for 24 days of Personal Time Off (PTO) per ~~year~~ *twelve-month appointment period*. All 24 PTO days of leave are available for use effective the first day of the appointment. Balances remaining at the end of an appointment do not carry forward to subsequent appointments.

*For appointments longer than twelve-months: UCPATH limits PTO accrual for a maximum of twelve months. Accruals will reset on the Postdoctoral Scholar's next anniversary date (every twelve-months from the initial start date of appointment).*

*Appointees with less than 12-month appointments are eligible for Sick Leave and Paid Time Off in proportion to the appointment period; at a rate of 2 PTO days and 1 Sick Leave Day per month.*

C. Sick Leave and Personal Time Off are both recorded in full day increments. Approved absences of less than one full *work* day do not require the use of personal time off or sick leave.

D. Time off for Postdoctoral Scholar-Fellow and Postdoctoral Scholar-Paid Direct appointees may be paid or unpaid, depending on the provisions of the funding agency agreement.

~~E.~~ *E. Request to use Sick Leave and Personal Time Off must be communicated to the Postdoctoral Scholar's Supervisor ahead of time and may be required to be submitted in writing.*

E. *F.* Postdoctoral Scholars are also eligible for other leaves of absence as outlined in Article 12 of the MOU. Leaves of absence, other than use of personal time off or sick leave, require prior approval from the Associate Vice Chancellor for Academic Personnel. Leave of Absence request process is located at: <https://ap.ucsb.edu/leave.of.absence/>.

G. *Postdoctoral Paid Family Leave (PPFL) provides a maximum of eight weeks of paid leave per calendar year for the care of a family member with a serious health condition, to bond with a new born or adopted child, to provide Military Caregiver Leave, or Qualifying Exigency Leave.*

**IX. VII. Reviews and evaluations**

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

**X. VI. Layoff**

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

**XI. VII. Discipline and Dismissal**

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

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

Consultation with Academic Personnel and Labor Relations is required prior to initiating any disciplinary action.

**XII. Approval Authority**

Action  
All actions

Authority  
Associate Vice Chancellor, Academic Personnel

IV-1  
STUDENT ACADEMIC TITLES  
General Information  
(Revised 9/20)

I. Academic Student Employee Agreements/Labor Agreements:

Appointees to the titles of Teaching Assistant, Associate ~~Instructor in~~, Reader, and Remedial Tutor are covered by the Academic Student Employee Unit (BX) Memorandum of Understanding (MOU) between the University and the UAW. The full contract is available on the Academic Personnel website at <https://ap.ucsb.edu/policies.and.procedures/collective.bargaining.agreements/>.

Graduate Student Researchers are not covered by the MOU. the Graduate Student Researchers Unit (BR) Memorandum of Understanding (MOU) between the University and the UAW.

The full contracts are available on the Academic Personnel website at <https://ap.ucsb.edu/policies.and.procedures/collective.bargaining.agreements/>.

II. Employment Eligibility

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

B. Graduate student appointees in academic student titles must be enrolled in a minimum of 8 units in a recognized program of graduate study, and must be within the appropriate degree deadlines.

C. Newly admitted graduate students working in the summer period preceding the first Fall term must either be enrolled in a summer session term or registered for Fall Quarter in the minimum number of units. NOTE: Newly admitted international students must be enrolled in a summer session term to be eligible for employer in the summer period.

D. Continuing graduate students (including international students) working during the summer period are not required to enroll in a summer session term as long as they were enrolled in the prior Spring Quarter and have has an open degree status. If a graduate student was on an academic leave of absence in Spring Quarter but wishes to work during the summer period, they must enroll in a summer session term.

E. Additional employment eligibility scenarios are described in the [Student Employment Guidelines](#).

III. Limitations on Service

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

Workload maximums are outlined in the Red Binder sections for each academic student employment title.

B. The appointment or reappointment of a graduate student to a student academic title must be for a period of one year or less.

C. The total length of service rendered as a Teaching Assistant or Associate Instructor in any combination of the two titles may not exceed four years (i.e., 12 academic year quarters.) Exceptions may be requested for an additional two years (6 academic year quarters), but in no case for more than 18 quarters. Note: Effective June 19, 2020, the Office of the President has extended the campus temporary authority to grant exceptions up to 21 quarters due to the impacts of the COVID-19 pandemic.



#### IV. Exceptions to Employment Policy

A. The student's Home Academic Department may grant the following:

- Appointment(s) ~~between~~ at 51% to 75% time
- Appointments as a Teaching Assistant/Associate Instructor ~~between~~ for quarters 13 through 18 quarters
- Employment while on Warning Monitoring Status (but not on Probation)
- Graduate Students with a GPA below 3.0, 12 or more units of incomplete or no grades
- Graduate Students who are 1 to 3 quarters Beyond Time to Degree

B. The Dean of the Graduate Division may grant the following:

- Appointments over 75% time
- Appointments as a Teaching Assistant/Associate Instructor for quarters ~~between~~ 19 through 21 quarters
- Graduate students on Academic Probation
- Graduate students who are 4 or more quarters Beyond Time to Degree
- All Associate Instructor appointment requests

C. Request for Exception to Employment Policy Form is available on the Graduate Division's website at: <https://www.graddiv.ucsb.edu/academic-appointments#General-Information-on-Graduate-Student-Academic-Appointments>

#### V. ~~IV.~~ Pay Schedule

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

B. The pay period for Fall quarter for Teaching Assistants and Associates ~~Instructors~~ may consist of four months, September 1 through December 31 on a 9/12 pay basis, allowing students to receive their first check on October 1. The monthly amount of pay for four months of fall quarter is adjusted accordingly so that the total quarterly payment remains the same. The four-month pay period is available for Fall Quarter only and is optional. The appropriate payroll paperwork must be processed before mid-September if the four-month Fall schedule is to be used. Winter and Spring quarters remain on three-month pay 9/9 pay basis ~~requiring Fall appointments that continue into Winter to be adjusted back to a 9/9 pay basis accordingly~~. Refer to the [Students Hired on a Four Mouth Basis Job Aid](#) for additional information.

C. Readers and Remedial Tutors are hourly employees and are paid on a bi-weekly basis. Appointees in these titles must report hours worked in the hiring department's timekeeping system.

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

E. When a graduate student employee is concurrent appointed in a non-academic title, i.e. Std. Asst. 1, the academic appointment determines the FLSA status for graduate student employee. The hiring department for the non-academic title shall be adjusted the FLSA status to exempt. See additional concurrent jobs scenario on the [Concurrent Jobs FLSA Status Determination Chart](#).

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

#### VI. ~~V.~~ Benefits

A. Graduate student employees covered by the MOUs are eligible for fee remission in accordance with the Fee Remission Articles of the MOU. Graduate Student Researchers are eligible for fee remission in accord with Red Binder IV-10. Information regarding tuition, fees, and other costs is available at: <https://www.graddiv.ucsb.edu/fees-costs>.



- B. Graduate students with appointments in covered titles are eligible for leaves of absence from their employment as outlined in ~~Article 17~~ the *Leaves* Article *of the MOUs, Contract*. Requests for leave should be made in writing, addressed to their Supervisor as soon as the need for the leave is known. Leaves are granted only with approval of the Departmental Chair/ *Research Unit Director*. ~~Graduate Student Researchers are eligible for leaves of absence in accord with Red Binder VI-3 and VI-4.~~

*Further detail on leave eligibility and procedures is available on the [Leave Request Form](https://ap.ucsb.edu/resources.for.department.analysts/graduate.student.appointments/) and [Leaves Chart](https://ap.ucsb.edu/resources.for.department.analysts/graduate.student.appointments/): <https://ap.ucsb.edu/resources.for.department.analysts/graduate.student.appointments/> [Benefits](https://ap.ucsb.edu/resources.for.department.analysts/graduate.student.appointments/)*

- C. ~~Eligible~~ Graduate students with an *eligible appointment in covered titles* may receive reimbursement of allowable child-care related expenses in accordance with the Childcare Article *4 of the MOUs, their contract*. ~~Eligible graduate students in non-represented titles may receive reimbursement of allowable child-care expenses in accord with the Graduate Student Researcher reimbursement program.~~

*The graduate student employee completes and submits the [Childcare Reimbursement Request Form \(UBEN 254\)](#) along with appropriate documentation to the hiring department for the reimbursement. Additional information regarding eligibility and the reimbursement process can be reviewed on the [UC ASE and GSR Childcare Reimbursement Program Factsheet](#).*

- ~~D. Forms and additional information are available on the Academic Personnel web site at <https://ap.ucsb.edu/resources.for.department.analysts/graduate.student.appointments/> see [Benefits/ ASE and GSR Childcare Reimbursement Program](#)~~

- E. *An eligible graduate student employee who receives a health insurance premium remission through a qualifying ASE or GSR appointment is also eligible to receive 100% premium remission for their child dependents if the graduate student employee's income exceeds the designated Med-Cal eligibility threshold as described in the Health Benefits Article of the MOUs.*

*Additional information regarding the [Dependent Care Premium Program and Attestation Form](#) are located at: <https://ap.ucsb.edu/forms/dependent.care.health.insurance.attestation.form.pdf>*

## VII. Discipline and Dismissal

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

- A. Written warning informing the graduate student employee of the nature of the problem, requirements for continuation of the appointment, and possible consequences if the problems are unresolved.
- B. Suspension from the appointment, without pay, for a stated period of time. Unless otherwise stated, such suspension will include loss of other privileges such as parking, access to University property and library privileges.
- C. Dismissal from the graduate student academic position.

Consultation with Academic Personnel and Labor Relations is required prior to initiating any disciplinary action.

IV-3  
**ASSOCIATE INSTRUCTOR**  
(Revised 12/19)

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 *An Associate Instructor (Job Code: 1506) is a* registered UC graduate students *in full-time residence*, 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. *The basic criteria for appointment are embodied in the definition of the Associate Instructor series. In addition,* appointees to the Associate *Instructor* 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. *The minimum qualifications for appointment to the Associate title shall be possession of Appointees must hold* a Master's degree, or *be advancement advanced* to candidacy, and *have* at least one year of teaching experience.
- D. ~~An Associate Instructor should be competent to conduct independently and without supervision the entire instruction of a course.~~

**III. Terms and Conditions of Employment**

- A. Appointments as a ~~Teaching Assistant~~ *Associate Instructor* are subject to the *Employment Eligibility and Limitations on Service sections as* described in Red Binder IV-1 General Information.
- B. Normally an Associate *Instructor* will conduct the entire instruction of a course. ~~An Associate Instructors~~ 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.
- C. Associates *Instructors* 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.
- D. This appointment does not imply the responsibility of engaging in research.
- E. ~~Appointments as an Associate are subject to the limitations of service described in Red Binder IV-1.~~
- F. *Associate Instructors who are assigned as Instructors of Record will normally receive a 50% appointment for a regular academic course.*

**IV. Personnel Actions**

- A. *Appointment requests that include an exception to employment policy (see RB IV-1, IV.) must include the Exception to Employment Policy Form endorsed by either the student's Home Academic Department or the Graduate Division.*
- B. Appointment packets ~~should~~ *must* be submitted to the Dean of the Graduate Division at

least eight weeks in advance of the beginning of the *teaching* quarter. Packets will be routed for additional review and endorsement as required:

Dean, Graduate Division: Academic Probation, four or more quarters beyond time to degree, employment beyond 15 quarters for *Academic Eligibility, Quarters of Service, and Exception to Policy*

Academic Senate (CCGE or Graduate Council): Teaching of an upper-division, undergraduate course or graduate-level course

College Dean or Academic Personnel: Final approval

Academic Personnel: Final approval for appointments in the College of Creative Studies and Bren School of Environmental Science & Manager Management and post-audit of all appointments

C. Appointment packets should include the following:

- Associate Appointment Form
- UCSB Biography form with initial appointment in department
- Teaching Evaluations -ESCI from the following:
  - Appointee's three most recent quarters as TA
  - Appointee's ESCIs from any offerings as TA of the same course as the proposed Associate *Instructor* appointment
  - All courses taught as an Associate *Instructor*
- Graduate transcript
- Current CV
- Course Syllabus
- Request for Exception to Employment Policy Form, if applicable

~~A. Appointees shall be notified in writing of their appointment. The written Notice of Appointment Letter (WNA) 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/>~~

~~D. Appointments are established only by the issuance of the Written Notice of Appointment letter (WNA) per the Appointment Notification Article of the MOU. WNA templates are available on the at: <https://ap.ucsb.edu/resources.for.department.analysts/graduate.student.appointments/>~~

~~E. Hiring Departments shall issue the WNA and supplemental documentation no less than thirty calendar days before the start of appointment, or as soon as possible in cases in which positions become available following the start of the academic term.~~

~~F. The graduate student employee must confirm their acceptance of the offer by signing and returning the WNA on or before the first day of employment or by the date specified by the department, if earlier. Upon receipt of the acceptance, the Hiring Department may enter the appointment in UCPATH.~~

~~G. The Hiring Department shall retain copies of the WNA and supplemental documents in the appointee's employment file.~~

H. 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 Associate Instructor's work and to make improvements when necessary, regular review is necessary.

## VI. Compensation

- A. Individuals appointed to this title are generally compensated at an on-scale rate within the published Associate Instructor Salary Scale (Table 19) at the 1/9th rate. Hiring Departments may also provide salaries that exceed the maximum salary point.
- B. *Prior Experience for salary scale placement:*
- An Associate Instructor with at least six quarters of experience at 25% or higher at the same campus shall be placed at salary point 3 or higher, including when this threshold is met during a multi-quarter appointment
  - An Associate Instructor with at least six quarters of experience at 25% or higher and who has advanced to candidacy at the same campus shall be placed at salary point 5 or higher including when this threshold is met during a multi-quarter appointment
  - Prior experience includes teaching at UCSB as both Teaching Assistant and Associate Instructor, excluding Summer Session teaching appointments.
- C. Hiring Departments may establish their own criteria for placement above the salary point minimum as long as the criteria is applied consistently to all Associate Instructor appointments within the Hiring Department
- D. Salaries are subject to an annual range adjustment as outlined in the MOU.
- E. A graduate student who is appointed as an Associate Instructor 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

### Authority

All normal actions

Dean, College with appropriate approvals of exceptions as noted in IV.A and Red Binder IV-1, III.e.

Exceptions under RB VI-1, IV.A.

Chair, Home Academic Department

Eligibility and Exceptions under RB. VI-1, IV.B.

Dean, Graduate Division

Upper-Division, Undergraduate Courses or Graduate Courses

Academic Senate  
Committee on Courses and General Education  
Graduate Council

For appointments in The College of Creative Studies and the Bren School,  
All Post-Audits

Academic Personnel

IV- 6  
TEACHING ASSISTANTS  
(Revised 2/22)

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 (*Job Code: 2310*) 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 *Teaching Assistant* 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. *International* 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: [the English for Multilingual Students program website](#).
- 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.~~ A. Appointments as a Teaching Assistant are subject to the *Employment Eligibility* and Limitations on Service *sections as* described in Red Binder IV-1 General Information.
- ~~B.~~ ~~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.
- ~~C.~~ ~~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.
- ~~D.~~ ~~C.~~ Occasionally an experienced Teaching Assistant may be assigned other or additional duties such as coordinating other *Teaching Assistants* ~~TAs~~, developing pedagogical content (e.g., for labs or discussion sections), ensuring consistent grading across multiple *Teaching Assistants* ~~TAs~~, or responding to individual student requests for *Disabled Students Program* (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."
- ~~E.~~ ~~D.~~ Appointments as a Teaching Assistant are subject to the and Limitations on Service described in Red Binder IV-1
- ~~F.~~ *D. Graduate students in teaching appointments, including those listed in C above, may not supervise or evaluate other graduate students, including or undergraduate students hired as learning assistants. The faculty member assigned to the course will be responsible for the Supervision of all student employees.*

- ⊖ 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."~~

⊖ A. Appointment requests that include *an exception to employment policy (see RB IV-1, IV.)* the following exceptions must include *an the Exception to Employment Policy Form endorsed endorsement from by either the student's Home Academic Department or the Graduate Division.*

- ~~On warning status~~
- ~~Beyond time to degree~~
- ~~Appointment in quarters 13-18~~
- ~~Appointment at above 50% time~~

~~B. Appointees shall be notified in writing of their appointment. The written Notice of Appointment Letter (WNA) 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. Appointments are established only by the issuance of the Written Notice of Appointment letter (WNA) per the Appointment Notification Article of the MOU. WNA templates are available on the at: <https://ap.ucsb.edu/resources.for.department.analysts/graduate.student.appointments/>~~

~~C. Hiring Departments shall issue the WNA and supplemental documentation no less than thirty calendar days before the start of appointment, or as soon as possible in cases in which positions become available following the start of the academic term.~~

~~D. The graduate student employee must confirm their acceptance of the offer by signing and returning the WNA on or before the first day of employment, or by the date specified by the department, if earlier. Upon receipt of the acceptance, the Hiring Department may enter the appointment in UCPath.~~

~~E. The Hiring Department will retain copies of the WNA and supplemental documents in the appointee's employment file.~~

F. 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 and shall be kept in the department's employment file(s).

#### VI. Compensation

- A. Individuals appointed to this title are generally compensated at an on-scale rate within the published Teaching Assistant rate on the Academic Salary Scales (Table 18) at the 1/9th rate. Hiring Departments may also provide salaries that exceed the maximum salary point.
- B. Prior Experience for salary scale placement:
- A Teaching Assistant with at least six three quarters of experience at 25% or higher at the same campus shall be placed at salary point 2 or higher including when this threshold is met during a multi-quarter appointment
  - A Teaching Assistant with at least six quarters of experience at 25% or higher and who has advanced to candidacy at the same campus shall be placed at salary point 3 or higher including when this threshold is met during a multi-quarter appointment
  - Prior experience includes teaching at UCSB as both Associate Instructor and a Teaching Assistant, excluding Summer Session teaching appointments.
- C. Hiring Departments may establish their own criteria for assigning placement above the salary point minimum as long as the criteria is applied consistently to all Teaching Assistant appointments within the Hiring Department
- D. Salaries are subject to an annual range adjustment as outlined in the MOU.
- E. "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.
- F. 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	Authority
All normal actions and post-audit	Department Chair, Hiring Department with Graduate Division
Exceptions under RB VI-1, IV.A. other than those listed below	Chair, Home Academic Department
Post Audits and Exceptions under RB. VI-1, IV.B.	Dean, Graduate Division
Students on Academic Probation Appointment over 75% time Employment beyond 18 quarters Four or more quarters beyond time to degree	

IV-8  
**READER**  
(Revised 11/15)

The policies on the use of the Reader title are set forth in APM 420 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 Reader will normally perform such duties as grading student papers and exams. ~~A Reader will not be given responsibilities normally assigned to a Teaching Assistant or Associate.~~

**II. Appointment Criteria**

*A. Appointees to the Reader title are subject to all eligibility requirements listed in Red Binder IV-1.*

*B. Graduate student 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. Readers will ~~usually normally~~ be graduate students; however, qualified undergraduates or non-students may be employed to meet special needs or when graduate students are not available. Readers are subject to the provisions of the Memorandum of Understanding regardless of student status. ~~Readers will be paid on an hourly basis according to the published salary scales.~~

*E. Readers should have maintained at least a 3.0 grade-point average in their previous academic work, and should have taken and received at least a "B" grade in the course or equivalent in which they are serving.*

*F. For students who have completed at least one full year of graduate work, the record of the year just past will be substituted for the undergraduate record. The appointing department will have the responsibility of ascertaining that these standards are maintained.*

**III. Titles**

*Readers are appointed into the following titles:*

- **2580 (GSHIP):** ~~is to be~~ Used for graduate student appointments *that are eligible for fee remission.*
- **2851 (Non-GSHIP):** ~~is to be~~ Used for undergraduate appointments and for graduate student appointments that do not meet the fee remission threshold
- **2500 (Non-Student):** ~~is to be~~ Used for non-student appointments.

~~III.~~ **IV. Terms and Conditions of Employment**

~~A. Readers are subject to the provisions of the Memorandum of Understanding regardless of student status.~~

~~B. Appointments as a Reader are subject to the limitations of service described in Red Binder IV-1.~~

*A. Appointments as a Reader are subject to the Employment Eligibility and Limitations on Service sections as described in Red Binder IV-1 General Information.*

*B. Readers will not be given responsibilities normally assigned to a Teaching Assistant or Associate Instructor.*



C. Readers may not be assigned a workload of more than 40 hours in one week or 8 hours in one day. While the workload may fluctuate throughout an academic term, at no time may a Reader 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.

#### 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/>

C. Appointment requests that include an exception to appoint beyond 50% time must include an endorsement from the student's home academic department.

A. Appointment requests that include an exception to employment policy (see RB IV-1, IV) must include the Exception to Employment Policy Form endorsed by either the student's Home Academic Department or the Graduate Division.

B. Appointments are established only by the issuance of the Written Notice of Appointment letter (WNA) per the Appointment Notification Article of the MOU. WNA templates are available on the at: <https://ap.ucsb.edu/resources.for.department.analysts/graduate.student.appointments/>

B. Hiring Departments shall issue the WNA and supplemental documentation no less than thirty calendar days before the start of appointment., or as soon as possible in cases in which positions become available following the start of the academic term.

C. The employee must confirm their acceptance of the offer by signing and returning the WNA on or before the first day of employment or by the date specified by the department, if earlier. Upon receipt of the acceptance, the Hiring Department may enter the appointment in UCPath.

D. The Hiring Department shall retain copies of the WNA and supplemental documents in the appointee's employment file.

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

#### V. Compensation

A. Readers Individuals appointed to this title are compensated on an hourly basis at an on-scale rate according to the within the published Reader Salary Scale (Table 18).

B. Salaries are subject to an annual range adjustment as outlined in the MOU.

C. B. A graduate student who is appointed as a Reader for 25% or more during the academic quarter will qualify for partial fee remission and payment of student health insurance.

#### VI. Approval authority

##### Action

##### Authority

All normal actions Department Chair, Hiring Department (post-audit of graduate student appointments by Graduate Division)

Exceptions under RB VI-1, IV.A. Chair, Home Academic Department

Exceptions under RB. VI-1, IV.B. Dean, Graduate Division



**IV-9**  
**REMEDIAL TUTOR**  
(Revised 4/19)

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~~ *A Remedial Tutor* is 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**

*A. Appointees to the Remedial Tutor title are subject to all eligibility requirements listed in Red Binder IV-1.*

*B. Graduate student 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. Remedial Tutors will normally be graduate students; however qualified undergraduate students may be so employed in established undergraduate tutoring programs. Remedial Tutors are subject to the provisions of the Memorandum of Understanding regardless of student status.*

*E. Additional appointment criteria, such as completion of specific coursework, may be required for Remedial Tutor positions.*

**III. Titles**

*Remedial Tutors are appointed into the following titles:*

- **2288 (I) and 2289 (II) – GSHIP:** ~~are to be~~ Used for graduate student appointments *that are eligible for fee remission.*
- **2280 (I) and 2290 (II) – Non-GSHIP:** ~~are~~ Used for ~~undergraduate appointments and for~~ graduate student appointments ~~– no fee remission~~ *that do not meet the fee remission threshold* and undergraduate student appointments

~~III.~~ **IV. Terms and Conditions of Employment**

*A. Appointments as a Reader are subject to the Employment Eligibility and Limitations on Service sections as described in Red Binder IV-1 General Information.*

*B. ~~A. The~~ Remedial Tutor ~~is~~ *is are* 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 *Campus Learning Assistant Services* (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.*

*C. All Remedial Tutors are subject to the provisions of the Memorandum of Understanding.*

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

E. While the workload may fluctuate throughout an academic term, at no time may a Remedial Tutor be assigned a workload of more than 40 hours in any one week or assigned to work more than eight hours in any one day.

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

#### ~~IV.~~ V. 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.

*A. Appointment requests that include an exception to employment policy (see RB IV-1, IV) must include the Exception to Employment Policy Form endorsed by either the student's Home Academic Department or the Graduate Division.*

*B. Appointments are established only by the issuance of the written Notice of Appointment letter (WNA) per the Appointment Notification Article of the MOU. WNA templates are available on the at: <https://ap.ucsb.edu/resources.for.department.analysts/graduate.student.appointments/>*

*B. Hiring Departments shall issue the WNA and supplemental documentation no less than thirty calendar days before the start of appointment, or as soon as possible in cases in which positions become available following the start of the academic term.*

*C. The employee must confirm their acceptance of the offer by signing and returning the WNA on or before the first day of employment or by the date specified by the department, if earlier. Upon receipt of the acceptance, the Hiring Department may enter the appointment in UCPath.*

*D. The Hiring Department shall retain copies of the WNA and supplemental documents in the appointee's employment file.*

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

#### ~~V.~~ VI. Compensation

A. Individuals appointed to this title are compensated on an hourly basis at an on-scale rate according to within the published Remedial Tutor Salary Scale (Table 20).

B. Remedial Tutors shall be guaranteed pay for the entirety of any pre-scheduled tutoring timeslot.

*C. Salaries are subject to an annual range adjustment as outlined in the MOU.*

D. 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 student health insurance.

## **VI.** Approval Authority

<u>Action</u>	<u>Authority</u>
All <b>normal</b> actions	<del>Department</del> Chair, <del>Hiring Department</del>
<i>Exceptions under RB VI-1, IV.A.</i>	<i>Chair, Home Academic Department</i>
<i>Exceptions under RB. VI-1, IV.B.</i>	<i>Dean, Graduate Division</i>

IV- 10  
**GRADUATE STUDENT RESEARCHER**  
(Revised 12/19)

*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**

A Graduate Student Researcher (GSR) is a registered UC graduate student *in full-time residence (with exception for students approved for In Absentia status)*, who performs research related to the student's degree program in an academic department or research unit under the direction of a faculty member or Principal Investigator. GSRs are selected for high achievement and promise as creative scholars; they may collaborate in the publication of research results as determined by supervising faculty members. GSRs may not be assigned teaching, administrative or general assistance duties.

### **II. Appointment Criteria**

~~Appointment to the Graduate Student Researcher title requires the following:~~

- ~~1. The appointee is a registered UC graduate student.~~
- A. The basic criteria for appointment are embodied in the definition of the series. In addition, appointees to the Graduate Student Researcher title are subject to all eligibility requirements listed in Red Binder IV-1.*
- B. Appointees must hold a BA/BS degree.*
- C. ~~Appointees~~ Doctoral students 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.*
- D. ~~Master's students~~ must be within the four-year time limit set for the master's degree as specified in Academic Senate Regulation 300A.*
- E. The work performed may contribute to the educational objectives of the student; and/or*
- F. The student functions as an active collaborator and/or fundamental contributor to the intellectual content of the research.*

~~The criteria for appointment to each of the steps listed below are provided as guidelines for departments:~~

- ~~Step I — Pre Masters degree, with no previous GSR experience.~~
- ~~Step II — One year's graduate work completed~~
- ~~Step III — Post Masters degree, or completion of at least two academic years of full-time graduate degree work at UCSB~~
- ~~Step IV — Post Masters degree plus completion of at least one year of experience as a GSR~~
- ~~Step V — Advancement to doctoral candidacy~~
- ~~Step VI X — Advancement to doctoral candidacy plus at least two years of experience as a GSR~~

~~The Appointee to this title must hold a BA/BS degree, must be a full-time registered graduate student, and must have a grade point average of 3.0 or above.~~

~~Appointments are made using job code 3284 (Graduate Student Researcher- Full Tuition and Full Fee Remission). The level of tuition and fee remission will be determined based on the total percentage and/or hours worked in titles eligible for remission during the applicable employment term.~~

### **III. Titles**

*Graduate Student Researchers are appointed into the following titles:*

- **Graduate Student Researcher (3284)**  
*Used when appointments are paid a salary from funding generated by the University in an*

academic department or research unit, provided that the graduate student is performing this funded searcher under the control of the University and under the specific direction of a faculty member or authorize Principal Investigator.

- **Graduate Student Researcher – Trainee (3151 – Fee remission/ 3150 - No Remission)**

Used when graduate students meet the definition of a GSR -3284 appointment and the funding source from which they receive remuneration deems that the money provided cannot be characterized as wages, the graduate student is an employee and the University will place the graduate student employee in a new “Trainee” title code that reflects that the money provided is not subject to a W-2.

- **Graduate Student Researcher – Fellowship (3141- Fee Remission/ 3140 – No Remission)**

Used when graduate students obtain individual fellowship(s) where receipt of the fellowship funding requires (i) the performance of a service for the University; and (ii) performs research in an academic department or research unit, provided that the graduate student is performing this fellowship research under the control of the University and under the specific direction of a faculty member or authorized Principal Investigator.

- **GSR Supplement (3160)**

Used to supplement GSR Trainee or Fellowship appointments when the external funding amount is less than the University established wage minimum in order to bring the total support up to the required salary levels.

#### IV. **III. Terms and Conditions of Appointment**

~~A.~~ A. Appointments as a Graduate Student Researcher are subject to the Employment Eligibility and Limitations on Service sections as described in Red Binder IV-1 General Information.

~~B.~~ Employment is limited to a maximum of 50% time, either in a graduate student researcher positions alone, or in combination with any other appointment at the University. (100% employment is permissible during off-quarter periods and during summer break.

Department Chairs may approve exceptions up to 75% time. Employment beyond 75% must be approved by the Dean of the Graduate Division.

~~C.~~ B. Workload shall be commensurate with the appointment percentage.

~~D.~~ C. Workload assigned may be separate from the GSR's appointee's own academic requirements associated with thesis/dissertation research, and/or academic progress required by their program that they must fulfill as graduate students.

~~E.~~ Trainees and Fellows may require different levels of effort as specified under the terms and conditions of the applicable grant or fellowship.

~~F.~~ An appointment to this title may be for a period of one 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"

#### V. **Compensation**

A. Individuals appointed to this title are generally compensated at an on-scale rate within the published Graduate Student Researcher Salary Scale (Table 22) at the fiscal year, 11/12 pay basis. Hiring Departments/Research Units may also provide salaries that exceed the maximum salary point.

B. Trainees and Fellows with stipends issued at a rate less than the University-established wage minimums shall be provided additional funding to increase the wage rate to the next highest salary point on the GSR scale, if applicable. However, when the requirements of the

sponsoring agency exceed the requirements of the MOU, the requirements of the sponsoring agency shall control all salary increase and adjustments to the individual GSR's salary.

C. *Prior Experience for salary scale placement:*

- *Effective October 1, 2023, a GSR with at least three quarters of experience at 25% FTE or higher at the same campus shall be placed at salary point 2 or higher*
- *A GSR with at least six quarters of experience at 25% FTE or higher at the same campus shall be placed at salary point 3 or higher*
- *Prior experience shall be determined by June 30, 2023 for the October 1, 2023 salary step placement, and by June 30, 2024 for the October 1, 2024 salary step placement.*
- *Trainees/Fellows' experience between January 1 2022 – June 30, 2023 shall be used for placement.*
- *Excludes GSR appointments with other campuses and LBNL*

D. ~~Departments may make appointments at higher or lower steps as long as all GSRs in the department are treated consistently. In the absence of departmental step criteria, the following serve as guidelines for appointments to the various steps:~~

D. *Hiring Departments/Units may establish their own criteria for assigning placement above the salary point minimum as long as the criteria is applied consistently to all GSRs appointments within the Hiring Department/Unit.*

E. Salaries are subject to *an annual* range adjustment *as outlined in the MOU.*

F. ~~Appointments receiving a salary are made using The level of tuition and fee remission will be determined based on the total percentage and/or hours worked in titles eligible for remission during the applicable academic term. A Graduate Student Researcher appointed at 25% - 34% during an eligible academic quarter will qualify for partial fee remission and payment of student health insurance, and 35% or higher for full free fee remission.~~

~~A GSR is eligible to receive only one Fee remission per quarter.~~

G. *Trainees and Fellows shall be eligible for fee remission including NRST if the external granting agency requires that the University cover the tuition and fees rather than the external granting agency.*

## **VI. Personal Time Off**

A. *GSRs appointed at 25% minimum will accrue one Personal Time Off (PTO) day for every one full month of appointment. GSRs may accrues up to 12 PTO days for a full twelve-month period. Shorter appointments will be pro-rated based on the appointment duration.*

B. *All eligible PTO days will be available for use at the start of appointment and will be communicated to the GSR on the written Notice of Appointment letter (WNA)*

C. *PTO is taken in one-day increments regardless of the GSR's weekly work schedule*

D. *GSR must request time off in writing to their supervisor in advance of their leave*

E. *Unused PTO days do not carry over toward subsequent GSR appointments*

F. *Trainees and Fellows shall refer to the terms and conditions of the fellowship award for paid time off/leave options.*

## **VII. Process for Appointment Personnel Actions**

Departments are encouraged to provide the GSR with a letter from the Department Chair that includes, but is not limited to: employment title, begin and end dates, rate of pay, percentage time of appointment, and self termination language.

A. *Appointment requests that include an exception to employment policy (see RB IV-1, IV) must include the Exception to Employment Policy Form endorsed by either the student's Home*



*Academic Department or the Graduate Division.*

- B. *Appointments are established only by the issuance of the Written Notice of Appointment letter (WNA) per the Appointment Notification Article of the MOU. WNA templates are available on the at: <https://ap.ucsb.edu/resources.for.department.analysts/graduate.student.appointments/>*
- B. *Hiring Departments/Research Units shall issue the WNA and supplemental documentation no less than thirty calendar days before the start of appointment, or as soon as possible in cases in which positions become available following the start of the academic term.*
- C. *The graduate student employee must confirm their acceptance of the offer by signing and returning the WNA on or before the first day of employment or by the date specified by the department, if earlier. Upon receipt of the acceptance, the Hiring Department/Research Unit may enter the appointment in UCPath.*
- D. *The Hiring Department/Research Unit shall retain copies of the WNA and supplemental documents in the appointee's employment file.*
- E. *Any changes to the appointment must be communicated to the appointee in writing.*

**VIII. ~~V.~~ Approval Authority**

<u>Action</u>	<u>Authority</u>
All normal actions	<del>Department</del> Chair, <i>Hiring Department Director, Research Unit</i>
Exceptions <del>to policy as noted in</del> under RB- IV-1, IV.A. with appropriate approvals of exceptions as noted in Red Binder IV 1, III.e.	<del>Department</del> Chair, <i>Home Academic Department</i>
<i>Exceptions under RB-IV-I, IV.B.</i>	<i>Dean, Graduate Division</i>

V-2  
**DOCUMENTS TO BE SUBMITTED BY THE CHAIR**  
**ACADEMIC COORDINATORS**  
(Revised 9/21)

*All appointments and advancements are to be submitted via AP Folio*

**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, rank and step all clearly stated?
- Is the recommended salary on the published salary scale?

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

- Is the CV up to date?
- Is the UCSB Academic biography form complete, signed and dated?
- Have all links to supporting documents been verified?

**III. Job Description**

- Does the job description address program scope and complexity, degree of independence, budgetary responsibility, level of professional accomplishment required and scope of impact on the campus mission (See APM 375, Appendix A)?

**IV. 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.
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.

**MERITS AND PROMOTIONS**

**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 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?
- Is all relevant information from the Departmental letter accurately entered on the case up-load screen?

**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?
- Have all links to supporting documents been verified?

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).**

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

- Has the candidate signed the safeguard statement? The case may not be forwarded until the candidate has signed.
- If there are confidential documents (e.g. letters of evaluation), the appropriate box under #5 and #6 should be checked.
- Are copies of everything the candidate has provided, or been provided, included with the case (e.g. redacted letters, list of potential evaluators)?

V. **Supportive documentation**

- Has a representative sampling of supportive documentation been submitted?

**DOCUMENTS TO BE SUBMITTED BY THE UNIVERSITY LIBRARIAN  
ASSISTANT & ASSOCIATE UNIVERSITY LIBRARIANS**

(Revised 4/24)

**APPOINTMENTS**

**I. Letter of recommendation**

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

- Are the start date of the appointment and the salary clearly stated?
- Is an analytical analysis of the person's qualifications included?
- Is the JPF# from UCRecruit 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. Copies of other supportive documentation**

- Has a representative sampling of supporting documentation been submitted if appropriate?

**Note:** 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.

**MERITS AND PROMOTIONS**

**I. University Librarian letter of recommendation**

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

- Is the letter signed and dated?
- Is the letter an accurate, extensive, and **analytical** representation of the case?
- Are both the type of recommendation (merit, promotion, no change, other) and the justification for the recommendation clearly stated?
- In the case of a negative recommendation, is the basis of the recommendation clearly documented?

**II. Updated UCSB Academic Biography form**

- Is the UCSB Academic biography form complete, signed and dated?

**III. 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 University Librarian should explain the situation and indicate in what manner ~~he/she has~~ **they have** attempted to meet the requirements outlined in the form.

- Is it signed and dated?
- If there are confidential documents (e.g. letters of evaluation), the appropriate box under #5 and #6 should be checked.

**IV. Candidate's self evaluation**

- Does the evaluation cover the accomplishments and contributions for the full review period?

**V. Letters of evaluation**

If letters were solicited

- Are copies of all letters received included?
- Is a list of letter writers, including a brief biography, and indicating who selected the writers included?
- Was the candidate provided with redacted copies of the letters?

**VI. Copies of supportive documentation**

- Has a representative sampling of supportive documentation been submitted if appropriate?

V-17  
**ADJUNCT PROFESSOR SERIES**  
(Revised **2/24**)

**I. Definition**

The titles in this series may be assigned to those who are predominantly engaged in research and who participate in teaching, or to individuals who contribute primarily to teaching and have a limited responsibility for research or other creative work. Appointees also engage in University and public service consistent with their assignments. See APM 280 for System Wide policy on Adjunct Professors.

Appointments may be made on a paid basis or a without salary basis.

**II. Appointment Criteria**

A candidate for appointment or advancement in this series is judged by the same four criteria specified for the Professor series, except that evaluation of the candidate shall take into account the nature of the duties and responsibilities, and shall adjust accordingly the emphasis to be placed on each of the criteria. The four criteria are:

1. Teaching
2. Research
3. Professional competence and activity
4. University and public service

See APM 210-1 for an explanation of these criteria.

**III. Term of Appointment**

Appointment or reappointment at the Assistant level may be for a maximum term of two years. Appointments at 50% or greater are limited to a total of eight years of service at the Assistant Professor level. Appointments at less than 50% are not subject to the eight-year limit.

Appointments or reappointments may be for up to two years at the Associate Adjunct Professor level and for up to three years at the Adjunct Professor level. For paid appointments a guarantee of funding is required for the duration of the appointment. Reappointments for funding purposes only, involving no academic review, may be requested by memo from the Chair or Director. No departmental vote is required.

The following policies apply to all without salary Adjunct appointments

**IV. Restrictions and review process**

For non-salaried appointments the title will normally be accorded to a distinguished person whose main affiliation is with another institution or in private industry, but who has an ongoing identifiable research and teaching involvement with UCSB.

Appointment may be made at the Assistant Adjunct Professor, Associate Adjunct Professor, or Adjunct Professor level. Candidates who hold, or have held an academic appointment at another institution should be appointed at the equivalent level. Candidates who have a main affiliation in industry and have not held an academic appointment in the past should be appointed at a level appropriate to their standing in the field.

To request a without salary appointment the following documents must be submitted to the Dean's office:

- Up-to-date CV
- UCSB biography form
- Departmental recommendation letter that includes a summary of the candidate's qualifications, justification for the level being proposed and the specific research and/or teaching that will take place.

To request a without salary reappointment the following documents must be submitted to the Dean's office:

- Up- to- date CV
- Departmental recommendation letter that includes the specific research and/or teaching that will take place as well as an evaluation of the performance during the current appointment period.

The following policies apply to all salaried Adjunct appointments

## V. Ranks and Steps

Assistant Adjunct Professor II- VI

Associate Adjunct Professor I- IV

Adjunct Professor 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 overlapping steps of Assistant Adjunct Professor V and VI, and Associate Adjunct Professor IV and V (Red Binder I-4, II). Within the Adjunct Professor 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. 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.

## VI. Compensation

- A. Initial appointments and reappointments in this series are conditional on programmatic need and the availability of funds, and each individual shall be notified to this effect at the time of appointment or reappointment.
- B. Individuals appointed to this series are compensated from the salary scales established for the Professorial ranks.
- C. At least 50% of any appointment must be funded from other than 19900 sources.
- D. Appointees to this series who hold academic year (9/12 basis) appointments are eligible to receive additional compensation for summer research efforts at the 1/9th rate.
- E. Off-scale salaries are allowed within the same limits and policies as ladder faculty off-scale salaries. (Red Binder I-8)

## VII. Restrictions

- A. Individuals who are primarily researchers and who teach regularly at least one course a year should be appointed in the Adjunct series for their whole appointment. Professional Researchers who teach less than one course a year should be given a Lecturer appointment in conjunction with the Researcher appointment. For purposes of appointment "one course" is defined as a regularly scheduled class that meets at least three hours per week (e.g. a 599 class does not fulfill the requirement).

For appointments in which teaching is the main activity, it must be clearly demonstrated that a teaching title such as lecturer is not appropriate, before appointment to this series can be approved.

- B. An appointee to a title in this series shall have the title revoked whenever the appointee's participation in teaching ceases to conform to the criteria set forth in A above.
- C. No appointee shall be paid from 19900 funds for more than 50% of any appointment. To the extent that State funds are used to support any part of the salary, the corresponding fractional part of an FTE shall also be used for the appointment.
- D. Appointees are not members of the Academic Senate, do not acquire security of employment or

tenure, and are not eligible for sabbatical leave.

- E. Paid Adjunct appointments are subject to open search requirements as defined in Red Binder VII-1.

**VIII. Appointment and Advancement**

- A. Paid appointments at 50% time or more that exceed one year will be considered the equivalent of ladder rank faculty appointments. Procedures and policies concerning appointment and advancement within the ladder ranks will apply to these positions (Red Binder I). The checklists for appointment (Red Binder I-15) and for advancement (Red Binder I-31 and I-34) should be used when preparing cases. For individuals appointed at less than 50% the same checklists is to be used to prepare the case.

~~B. 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 Adjunct Professor level. Merit increases are based on the academic record since the time of last review while promotions, advancement to Adjunct Professor VI, and advancement to Adjunct Professor Above Scale are based on the career academic record. Any advancement requested prior to the normative time at step will be considered an acceleration and must be justified as such.~~

- C. All merits and promotions will be effective July 1. Completed cases must be submitted to the college by the deadlines established for ladder faculty cases. Cases received after the due date will be returned to the Department and will not be processed. A missed deadline may not be used as justification for retroactivity in a future review.

Deferral will be automatic if an Adjunct Professor does not submit material by the departmental due date and no case is forwarded by the department, with the exception of formal appraisals and mandatory reviews.

- D. A formal appraisal of an Assistant Adjunct Professor will take place during the fourth year of service. The procedures outlined in Red Binder I-38 will be used.

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

- E. External letters of evaluation will be required in cases of: appointment as Associate Adjunct Professor, appointment as Adjunct Professor, promotion to Associate Adjunct Professor, promotion to Adjunct Professor and merit to Adjunct Professor Above Scale. The policies related to solicitation of external evaluation for ladder faculty must be followed (Red Binder I-46 to I-50).

**IX. Approval Authority**

<u>Action</u>	<u>Authority</u>
50% or more for more than one year:	Same as ladder rank faculty (Red Binder I-14)
Exceptions to State funding limits	Chancellor
<u>Less than 50% or one year or less:</u>	
Assistant level: Appointments Reappointments, Merits	Dean
Associate, Full reappointments and merits	Dean
Associate, Full Appointments	Associate Vice Chancellor

Promotions

Exceptions to State funding limits

Associate Vice Chancellor



V-20  
**PROFESSOR OF PRACTICE**  
(Revised ~~2/21~~)

**I. Definition**

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

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

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

**II. Appointment and advancement criteria**

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

1. Professional competence and activity

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

2. Teaching contributions

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

3. Research contributions

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

4. Service contributions

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

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

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

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

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

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

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

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

### **IV. Compensation**

The salary paid to a Professor of Practice will be at a negotiated annual rate. The departmental recommendation letter must justify the salary level recommended.

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

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

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

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

### **VI. Appointment and advancement processes**

- A. Paid appointments as Professor of Practice at 50% or more that exceed one year will be considered the equivalent of ladder-rank faculty appointments for purposes of appointment and advancement. Procedures and policies concerning appointment and advancement within the ladder ranks will apply to these positions (Red Binder I). The checklists for appointment (Red Binder I-15) and for advancement (Red Binder I-31 and I-34) should be used when preparing cases. For individuals appointed at less than 50% time the same checklists are to be used to prepare the case.

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

**VII. Approval Authority**

Action  
All actions

Authority  
Associate Vice Chancellor for Academic Personnel

V-28  
**DEANS AND FULL TIME FACULTY ADMINISTRATORS**  
(Revised 4/23)

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. The Dean of Professional and Continuing Education is 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~~ *they* receives compensation and for which ~~he or she has~~ *they have* 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 in the Kronos timekeeping system.

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).

**FACULTY ADMINISTRATORS LESS THAN 100% TIME**

(Revised 6/20)

The system-wide policy for Faculty Administrators who are appointed at less than full time is set forth in Academic Personnel Manual (APM) 241. The system-wide policy for Department Chairs is set forth in Academic Personnel Manual (APM) 245. At UCSB, the application of these policies is outlined in the following:

**I. Definition**

A faculty member who is appointed to assume administrative responsibility in addition to, or in partial replacement of ~~his or her~~ *their* faculty responsibilities is considered a Faculty Administrator at less than 100% time. Normal scholarly activity is expected to continue at a proportionate level that would allow for normal progression in the faculty member's academic series. Faculty may be appointed to less than 100% time administrative positions into the following titles:

- Associate Vice Chancellor, Associate Dean
- Department Chair, Department Vice Chair
- Director, Associate Director
- Faculty Advisor
- Dean of Extended Learning
- Interim or Acting in any of the above

**II. Terms of service**

Faculty Administrator appointments at less than 100% time may be for a period of time up to five years, subject to reappointment. Appointment as Acting or Interim will normally be for not more than a one year period, subject to reappointment.

The Executive Vice Chancellor shall conduct a five-year review of each less than 100% time Faculty Administrator to determine if reappointment to another term is warranted. 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 the individual serves 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:**

Less than 100% time Faculty Administrators will normally be compensated with stipends. Stipends are not subject to general range adjustments. Stipend rates will be determined based on the scope of the responsibilities of the position. Stipend will be paid using the following title codes:

- 0803 Associate Vice Chancellor
- 1010 Associate Dean
- 1096 Department Chair
- 1094 Department Vice Chair
- 0900 Director
- 0910 Associate Director
- 0812 Faculty Advisor
- 1040 Dean-Extended Learning
- 1099 Interim or Acting in any of the above.
- 1099 Other administrative service when approved by the Executive Vice Chancellor

**B. Additional Compensation:**

Faculty Administrators at less than 100% time may earn summer additional compensation, not to exceed 3/9ths, exclusive of stipends.

- C. Faculty Administrators are limited to one administrative stipend at any given time. Exceptions may only be approved by the Executive Vice Chancellor and will occur only in rare and unusual circumstances.
- D. Periods of leave:  
Administrative stipends will not normally be paid during periods of sabbatical leave or other extended leaves of absence. If necessary, an acting administrator may be appointed during the term of the leave. If the administrative service compensated by the stipend will continue, the leave request should include this information.

#### **IV. Appointment process**

The Executive Vice Chancellor has authority for all appointments into Faculty Administrator positions at less than 100% time. Appointment and reappointment requests are to be addressed to the Executive Vice Chancellor, via the appropriate control point (e.g. Dean, Vice Chancellor) for comment and recommendation.

##### Department Chairs

University policy specifies that faculty participate in the selection of Chairs of departments (APM-015, I 4 (d)). At UCSB this consultation is carried out by the Dean prior to his or her recommendation to the Executive Vice Chancellor and the Chancellor.

As part of this consultation, in the event of a vacancy or anticipated vacancy in the Chair of any department, the Dean will officially inform the department of the circumstances and request that it determine whether or not it wishes to conduct a departmental vote. The department may conduct such a vote in any manner that it deems proper, provided that it does not abrogate any faculty member's right to express a private position on the matter directly to the Dean or the Vice Chancellor, should any member wish to do so. The Dean and Vice Chancellor will duly consider the results of any such vote and any such private communication in determining their recommendations on the appointment of the new Chairperson.

It is customary University UCSB practice that most Departmental Chairs serve terms of from three to five years. The replacement of a Chair before the completion of this normal term can be initiated by the Chancellor, the Executive Vice Chancellor, the Dean or the department. If initiated by the department, a recommendation will be forwarded to the Dean requesting that a change be considered. If initiated by the Chancellor, EVC, or the Dean, wide and timely consultation with the tenured faculty of the department will take place prior to a decision.

##### Directors

Appointments as Director of an Organized Research Unit (ORU) or of a Multi-campus Research Unit (MRU) may require consultation with the Advisory Committee of the unit, in accord with APM 241-24. Requests are to be forwarded via the Vice Chancellor for Research to the Executive Vice Chancellor.

#### **V. Duties of the Department Chair**

The Chair of a Department of instruction and research is its leader and administrative head. The duties of the Chair are as outlined in APM 245, appendix A:

<http://www.ucop.edu/acadv/acadpers/apm/apm-245.pdf>

In addition, the Chairpersons is expected to participate in and assist in carrying out the policies and administrative decisions required for implementation of labor agreements covering academic employees, including Non-Senate Faculty, Graduate Student Employees and Postdoctoral Scholars.



VI-6  
**VACATION**  
(Revised 2/20)

- A. For non-represented academic employees, see APM 730 for conditions governing accrual, use, and record-keeping and RB VI-8 for accrual codes. Vacation accrual and usage for represented academic employees is governed by the applicable MOU.
- B. Academic-year employees are expected to be in residence throughout the academic year and do not accrue vacation leave.
- C. Fiscal-year non-student academic appointees who are appointed for six months or more at 50% time or more accrue vacation credit. Credit is accrued at the rate of two working days a month for full-time service and pro-rated for appointment at less than 100% time. There is no waiting period for accrual or use of accrued vacation. If the individual holds two appointments (staff or academic), each for at least six months, the percent of employment is combined to determine eligibility for vacation accrual. No accrual occurs in any month where the percent time worked drops below 50%.
- D. Graduate Student Researcher *do not accrue vacation, but are entitled to personal time off in accordance with the provisions of the collective bargaining agreement, Article 23.* ~~must be appointed for 12 consecutive months or more at 50% time or more to accrue vacation.~~
- E. Postdoctoral Scholars do not accrue vacation, but are entitled to personal time off in accord with the provisions of the collective bargaining agreement, Article 17.

VI-8  
ACADEMIC LEAVE ACCRUAL RATES  
(Revised 4/19)

<u>Type of Appointment</u>	<u>Accrual Rate per month*</u>
Appointments made on <del>9/12 or 9/9</del> <i>academic year</i> basis:	
Academic Coordinators 9/9	No vacation, 8 hours sick leave
Academic Coordinators 9/12	No vacation, 8 hours sick leave only during the 9 months of service
All other <del>9/9 and 9/12</del> <i>academic year</i> appointments	No vacation, no sick leave
Appointments made on <del>11/12</del> <i>fiscal year</i> basis (other than GSR):	
Less than 6 months, less than 50% time	No vacation, no sick leave
Less than 6 months, 50% time or more	No vacation, 8 hours sick leave
6 months or more, less than 50% time	No vacation, no sick leave
6 months or more, 50% time or more	16 hours vacation, 8 hours sick leave
Graduate Student Researchers:	<i>PTO per article 23 of the MOU</i>
<del>Less than 12 months at any percent time</del>	<del>No vacation, no sick leave</del>
<del>12 months or more, less than 50%</del>	<del>No vacation, no sick leave</del>
<del>12 months or more, 50% or more</del>	<del>16 hours vacation, no sick leave</del>
Postdoctoral Scholars	12 days sick leave, 24 days PTO per 12 month appointment

\*Prorated when less than full time.

VI-9  
**COMPENSATION**  
(Revised 9/18)

Academic- year appointment

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

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

Fiscal-year appointment

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

Regular compensation

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

Academic employees are considered exempt if they 1) have a primary appointment in a teaching or student title, or 2) have earnings that exceed the Department of Labor threshold for exempt/non-exempt classification. Exempt employees are paid on a percentage basis at a monthly rate on the monthly (MO) pay cycle, with the exception of Readers and Remedial Tutors who are paid on an hourly pay rate, with positive reporting of time. Non-exempt employees will be paid at an hourly rate, based on hours reported on the bi-weekly (BW) pay cycle. Non-exempt employees are eligible for over-time pay if they work more than 40 hours in a week. For employees with multiple appointments, the determination regarding exempt/non-exempt status will take into consideration all appointments.

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

Flat-rate (BYA and TST) payments

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

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

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

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

### Initial Employment

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

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

VI-15  
**INTERCAMPUS PAYMENTS**  
(Revised 9/20)

Reference: APM 666

**One-time Payments**

Under certain circumstances Academic appointees holding full-time appointments may receive honoraria for lectures or similar services given on another UC campus. Such compensation may not be made from state funds, but is permitted from gifts, endowments, contracts and grants with specifically budget provisions for such honoraria or from Continuing and Professional Education. If non-state funds are not available, a faculty member may only be reimbursed for actual expenses incurred in presenting lectures or performing similar services from 19900 funds.

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. During the academic year the total earned for lectures and similar services may not exceed 10% of the individual's annual salary. Payment will be made using the earn code of **HON**.

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

**Multi-campus appointments**

In situations where an academic employee is simultaneously employed on two campuses approval from the appropriate Dean's office and/or Academic Personnel office must be obtained **prior** to the processing of the Intercampus One-Time Payment form or the Temporary Intercampus or Multi-campus Appointment Form. The total percent time on the two campuses may not exceed 100% other than for allowable types of additional compensation.

Processing of forms

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

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

One-time payments will be processed by the Academic Personnel UCPath unit. Multi-campus appointments will be processed as new hires by the department.

VIII-8  
**DISTINGUISHED FACULTY**  
(revised 5/10)

The Distinguished Faculty program is designed to provide departments with the opportunity to bring outstanding, renowned faculty for to UCSB for permanent, part- time appointments.

**Eligibility:** Distinguished Faculty appointments will be reserved for scholars, artists or performers of exceptional distinction. Any person nominated for these positions must be at a level of distinction and accomplishment consistent with appointment at the Above Scale professorial level.

**Note:** No new appointments are being made into this program. Policy is for existing appointees only

**Type of Support:** Each position will be funded at the level of .33 FTE from state funds.

**Evaluation Criteria and Administration:** Departments wishing to appoint a Distinguished Faculty member must first submit a nomination, via the Dean, to the Distinguished Faculty Committee. Along with an analysis of the qualifications of the individual, the nomination should address the anticipated manner in which the appointment will contribute to specific academic programs, as well as to the intellectual life of the campus at large. Upon approval of the Executive Vice Chancellor, the department will be instructed to submit an appointment case following procedures in Red Binder, Section I. When soliciting outside letters of recommendation the department must use the Above Scale solicitation letter (Red Binder I-53). The second paragraph of the letter may be modified to include the following wording:

The prospective Professor Above Scale appointment of Dr. \_\_\_\_, is being made as a result of a special initiative on distinguished professorships developed at UCSB. This initiative allows us to add extraordinarily distinguished faculty to our campus on a permanent, albeit part-time basis (i.e., one quarter per year) without jeopardizing their position at their home institution. Professor \_\_\_\_\_ has agreed to be considered for this appointment. Insofar as the position carries tenure, we must follow the University of California process for senior tenured appointments. Consequently, I am requesting that you serve as a referee for Professor \_\_\_\_\_ by writing a letter of evaluation pertinent to \_\_\_\_\_ [his/her their] case and the level of his appointment.

VIII-11  
**POLICY ON ENDOWED CHAIRS**  
(Revised 2/24)

**I. References:**

- A. University of California, Policy and Procedures Manual for Gifts and Endowments.
- B. University of California Academic Personnel Manual.
- C. Policy on Endowed Chairs, adopted by The Regents, effective July 1, 1996.
- D. Delegation of authority, President Napolitano, July 11, 2019

**II. Policy:**

- A. **Background:**  
While General Fund appropriations remain the core support for the academic functions of the campus, the establishment of endowed chairs, fully funded through the support of private gifts, provides significant and singular benefit in the development of excellence at UCSB. These gifts permit enriched support for the teaching, research and service responsibilities of especially gifted faculty and provide a means of according such faculty public recognition of their distinguished status. They offer attractive incentives for recruitment and retention purposes. Endowed chairs, endowed professorships and all similar entities are governed by this policy.
- B. **Definition:**  
An endowed chair is a perquisite, supported by income from an endowed fund established by gifts.
- C. **Requirements for Establishing an Endowed Chair:**
  - 1. The Chancellor has authority for establishing and naming endowed chairs. No final commitment for establishing and naming a chair shall be made to a prospective donor prior to Chancellorial approval. This authority may not be redelegated.
  - 2. The corpus of a gift consisting of cash, its equivalent, or a legally binding pledge from a donor(s) of at least \$1,000,000 is required to establish an endowed chair.
    - a. A pledge to establish an endowed chair shall be in such form as to constitute a legally binding commitment by the donor. Pledges to The UCSB Foundation shall be supported by a binding pledge from the latter to transfer the income to The Regents at the beginning of each fiscal year to fund the chair.
    - b. Whenever possible, a pledge to fund an endowed chair shall be accompanied by partial payment, preferably at least one-third of the total, and the instrument of gift shall include a proposed payment schedule which shall not exceed a date specified at the time of Presidential approval, except in cases where there is a binding commitment to complete the funding by bequest or similar deferred gift for which there can be no predetermined termination date.
    - c. If a chair is to be funded through a campaign, the recommendation for approval of the chair and the campaign shall be presented simultaneously. Approval of an endowed chair when a campaign is involved, will be contingent upon the receipt of a specified amount by the specified closing date of the campaign, with a provision for optional use of the funds raised should they fall short of the required minimum, or with a commitment from the Chancellor to make up any deficiency from unrestricted funds available to the campus.
  - 3. The subject area of the endowed chair must be consistent with the mission of the University of California and the academic planning statement of the Santa Barbara campus. The designated field for the endowed chair is a matter of negotiation between the donor and the University. Income from the endowment will be dedicated to the academic discipline or area specified by the donor at the time of acceptance of the gift so long as that discipline or specialty remains a program within the academic plan of the campus.

4. The gift instrument shall normally permit appropriate alternative distribution of the income by the Chancellor if the subject area of the endowed chair ceases to be consistent with the University's mission or the academic planning statement of the campus. Such alternative distribution shall be as closely related to the donor's original intent as is feasible.
5. The gift instrument shall normally state that the fund administrator is given authority to add unexpended income to the original corpus.
6. Procedure for obtaining approval for the establishment of an Endowed Chair is as follows: Recommendations shall be reviewed by the appropriate Dean and forwarded to the Executive Vice Chancellor who will consult with the Academic Senate Committee on Planning and Budget regarding the appropriateness of the proposed subject area. Based on the comments of the committee, the Executive Vice Chancellor will make a recommendation to the Chancellor who has final authority for establishment of the Endowed Chair.

D. Appointments:

1. Unless otherwise indicated in the gift agreement, the term of appointment to an endowed chair will be for an initial period of five years, with subsequent terms of five years each as long as the chair holder is fulfilling the original mission and expectations of the appointment. Appointment may be for a shorter period, but may not exceed five years without review as described in D.5 below. Appointment may also be made to a series of individuals appointed successively for prescribed periods.
2. Appointment of an individual to an Endowed Chair shall be made by the Chancellor, in accordance with the normal academic review procedure for an academic appointment, including consultation with the department, college, and Committee on Academic Personnel. When a current UCSB faculty member is recommended for appointment to an Endowed Chair, the process may be modified as appropriate. For example, a department vote is not mandatory.
3. In the case of an administrative endowed chair, the administrative officer is automatically designated as the chair holder.
4. The level of appointment normally shall be equivalent to the top ranks of the professor series, but appointment at lower ranks is also possible if so stated in the gift agreement.
5. Reappointment of an individual to an Endowed Chair may be approved by the Associate Vice Chancellor for Academic Personnel, upon favorable recommendation by the Department and endorsement by the Dean. The departmental recommendation will consist of a memo that evaluates the extent to which the chair holder is fulfilling the original mission and expectations of the appointment. While a faculty vote is not mandatory, departmental consultation must take place. Should the Department or Dean recommend termination of the appointment, CAP review will be required and the Chancellor will have final authority.
6. Chairs that remain vacant for a consecutive period of five years will be subject to review by the Chancellor.

E. Provisions:

1. Endowment income may be used to support salary, or a portion of the base salary if so stated in the gift agreement, however in most cases base salary will be provided through state funding of the faculty position. Income from the endowment may also be used for supplementary salary beyond the base salary, as determined by the fund administrator, consistent with the terms of the gift and campus and University policy and procedures.
2. Endowment income made available to holders of endowed chairs shall be used to support teaching, research, and service activities of the chair holder, in accordance with the gift terms, University regulations and according to a budget recommended annually by the chair holder to the fund administrator. Consistent with the foregoing, and following consultation with the appropriate campus administrator, a chair holder may exercise the option of designating a portion of the



endowment income from the chair for use towards the academic endeavors of the Department for a prescribed period, within proper legal constraints.

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

#### F. Disestablishment of Chair

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

#### G. Reporting

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

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

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

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

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

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

IX-15  
**INFORMATION PRACTICES GUIDELINES**  
(Revised 10/10)

This directive establishes certain guidelines for implementation of Section 160 and portions of Section 220-80 of the Academic Personnel Manual, and also of certain provisions of the Information Practices Act of 1977.

Section 160 does not open personnel files to the candidate. Rather it allows individuals access to non-confidential material in their files, under specified conditions. It serves as a mechanism for providing summaries of confidential material while maintaining the confidentiality of the review process. Please refer to Section 160-20b(1) for a definition of "confidential" documents. The University maintains that the Manual is consonant with the provisions of the law.

## **I. Responsibility**

Chairpersons are responsible for properly processing most personnel actions concerning faculty members (APM 220-80 b). They should be sure to follow the APM and the steps outlined in the "Chairperson's Checklist for Academic Advancement" (Red Binder, I-22). Before the departmental recommendation is determined, the Chair must provide the candidate the opportunity to review all non-confidential documents in the review file and must provide, upon request a redacted copy of the confidential material in the file. Redaction of a letter of evaluation is defined as removal of the name, title, organizational/institutional affiliation, and relational information contained below the signature block.

If significant new information is to be added to the personnel review file after it has been forwarded to the office of the appropriate Dean, the candidate should be informed of it (or the substance of it, if confidential) and be given an opportunity to comment on the information. Any written comment should be forwarded to the office of the appropriate Dean. This procedure is specifically required (APM 220-80 h) in the case of information requested by reviewing agencies.

Section 220-80 i states that after the final administrative decision has been communicated to the candidate, the candidate shall have the right, upon written request, to receive from the Chancellor a written statement of the reasons for the decision, including a copy of non-confidential documents and a redacted copy of the confidential academic review records (APM- 160-20 b(1)). Redaction of ad hoc committee reports will consist of the removal of the names of individual members of the committee. Dean's comments, CAP reports and any correspondence between these agencies and the Associate Vice Chancellor for Academic Personnel (or designee) will be provided in their entirety.

The Associate Vice Chancellor for Academic Personnel will, upon written request, provide the copies of non-confidential documents and redacted copy of the confidential academic review records to the candidate. A copy of documents given to the candidate is retained in the personnel file of the candidate in the Office of Academic Personnel, but it is not used in any subsequent personnel reviews, nor is it considered to be part of the review process. A candidate may elect to have the documents introduced into his/her their personnel file, but he/she they must notify the Associate Vice Chancellor, Academic Personnel of that in writing. If the documents are so introduced, they then become part of the review file.

The Office of Academic Personnel is the office of record for all requests for copies and redactions of confidential documents pertaining to final personnel actions. Such copies and redactions will not be issued by other offices.

## **II. Access to Non-confidential Documents**

- A. Academic appointees shall have the opportunity at reasonable times to inspect all documents concerning themselves, other than confidential documents, in any of the academic personnel records maintained within the department, in the dean's office or in the Office of Academic Personnel. This includes the right to receive the first copy of such material free and subsequent copies at reasonable cost.
- B. All persons who wish to inspect the non-confidential portions of their files in the deans' office or the Office of Academic Personnel should apply in writing to the Associate Vice Chancellor, Academic Personnel.
- C. Faculty members also have the right to inspect the non-confidential portions of their files in the

departmental offices at reasonable times. (Note: Departments are urged for the convenience of the department and the individual, to maintain two files--one for the confidential materials and one for non-confidential materials.)

### **III. Request for redacted copies of Confidential Materials (Under APM 160-20 c (1) and (2); and IPA 1798-38)**

- A. Requests for redacted copies of confidential materials (including reviewing agency reports and correspondence) on personnel actions should be addressed to the Office of Academic Personnel in writing.
- B. Departments provide redacted copies of letters of evaluation prior to determination of the departmental recommendation.

### **IV. Application of Regulations and Laws**

The Information Practices Act applies to all non-student personnel actions. In general, this means that Sections II, 111A, IV and VI of these guidelines apply to all such procedures. Other provisions apply only to those academic personnel series listed in APM 160-20 c (4).

### **V. Corrections, Deletions and Statements**

The Academic Personnel Manual (160-30) and the Information Practices Act (1798.35 to 1798.37) provide rather similar rights and procedures for the correction of the personnel records on request of the individual who is the subject of the records, or for the addition to the file of a statement by that individual.

In the case of information that exists solely in a departmental file, the Chairperson may receive requests for changes and act upon them and may insert into the file statements by the candidate commenting upon the file.

In the case of information that exists in the files of Academic Personnel, or of a Dean, requests for changes or the insertion of statements will be addressed to the Associate Vice Chancellor, Academic Personnel, and will normally be forwarded via the Chairperson, who may comment upon them. Before changes are made by the Associate Vice Chancellor, upon formal request of the individual, the Committee on Academic Personnel will be consulted.

### **VI. Inspection of Personnel Records by Third Parties**

The general rule is that persons (other than the subject of the records) or agencies shall not have access to academic personnel records pertaining to an individual, and shall not be furnished information from such records, without the written consent of the individual. There are exceptions to this general rule, as, for instance, in the case of a subpoena.

Chairpersons may release the following information to the indicated persons upon request:

- A. University employees may have access to the personnel records of individuals to the extent that such access is needed to perform their officially assigned University duties, provided that such access is related to the purpose for which the information was acquired.
- B. Members of the public may be informed of:
  - 1. The employee's date of hire
  - 2. The current job title
  - 3. The current rate of pay of the job title
  - 4. Organizational unit assignment (e.g., department)
  - 5. Current job description
  - 6. Campus address
  - 7. Campus telephone number
- C. A campus telephone book or directory.

All other requests for information concerning individual academic employees (not listed in B and C above)

should be referred to the Office of Academic Personnel.

## **APPENDIX A**

The following is the policy for material collected prior to September 1, 1992.

Section 220-80i provides that "After the final administrative decision has been communicated to the candidate, the candidate shall have the right, upon written request, to receive from the Chancellor...a written statement of reasons for that decision..."

In accordance with APM 220-80i, drafts of all such written summaries are submitted to the Committee on Academic Personnel for review and comment before being sent to the candidate. The final draft of the comprehensive summary, however, is sent only to the candidate, since it is considered to be part of the review process. A candidate may elect to have the summary letter introduced into ~~his/her~~ *their* personnel file, but ~~he/she~~ *they* must notify the Associate Vice Chancellor, Academic Personnel of that in writing. If the summary letter is so introduced, it then becomes part of the review file.

The Office of Academic Personnel is the office of record for all requests for summaries of confidential documents pertaining to final personnel actions. Such summaries will not be issued by other offices.

### **II. Access to Non-confidential Documents**

- A. Academic appointees shall have the opportunity at reasonable times to inspect all documents concerning themselves, other than confidential documents, in any of the academic personnel records maintained within the department, in the Dean's office or in the Office of Academic Personnel.
- B. All persons who wish to inspect the non-confidential portions of their files in the Dean's office or in the Office of Academic Personnel should apply in writing to the Associate Vice Chancellor for Academic Personnel.
- C. Faculty members also have the right to inspect the non-confidential portions of their files in the departmental offices at reasonable times (Note: Departments are urged for the convenience of the department and the individual, to maintain two files--one for the confidential materials and one for non-confidential materials).

### **III. Request for Summaries of Confidential Materials**

(Under APM 160-20c (1) (2); and IPA 1798-38)

- A. Requests for summaries of confidential materials on personnel actions should be addressed to the Office of Academic Personnel, in writing if a written summary is desired, except that certain summaries are to be provided to individuals by the chairperson as noted in the "Chairperson's Checklist for Academic Advancement," and APM 220-d, e, and h and also 220-84b.
- B. In accordance with APM 220-80i, drafts of all such written summaries provided by the Associate Vice Chancellor, Academic Personnel will be submitted to the Committee on Academic Personnel for review and comment.

IX- 20  
**PROCEDURE FOR NON-SENATE, NON-REPRESENTED ACADEMIC  
APPOINTEES CORRECTIVE ACTION AND DISMISSAL**  
(Revised ~~2/20~~)

**I. Related Policies**

APM 150 provides the standards and procedures for corrective action or dismissal of non-Senate non-represented academic appointees. APM 140 describes the University policy regarding the grievance procedure for non-Senate non-represented 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. Procedures for represented non-Senate academic appointees are contained within the applicable MOU.

**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
Adjunct Professor (paid positions)*	Department Chair	Associate Vice Chancellor Academic Personnel
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
Continuing Educators Extension Teacher	Dean, Professional and Continuing Education	Associate Vice Chancellor Academic Personnel
Academic Coordinator	Department Chair or Director	Associate Vice Chancellor Academic Personnel
<del>Graduate Student Researcher</del>	<del>Department Chair or Director</del>	<del>Associate Vice Chancellor Academic Personnel</del>

\*subject to peer review

\*\*Represented employees in these titles are subject to the policies and procedures outlined in the applicable MOU.



**PROCEDURES FOR NON-SENATE, NON-REPRESENTED ACADEMIC GRIEVANCES**

(Revised 2/20)

Sources: APM 140 - General University Policy Regarding Academic Appointees, Non-Senate Academic Appointees/Grievances

This policy applies to all academic appointees who are not members of the Academic Senate, except those appointees covered by a Memorandum of Understanding. Student academic employees not covered by an MOU may only grieve matters related to their academic appointment.

Grievance Liaison: The Office of Employee & Labor Relations shall serve as the liaison office for any grievance proceedings conducted under APM 140 and Red Binder IX-25.

Step I Informal Grievance Resolution

During the informal stage the grievant tries to resolve the issue through discussion with the supervisor or other responsible administrator whose action is being grieved. Both the grievant and departmental personnel are urged to consult with the Office of Employee & Labor Relations for assistance in resolving the problem informally. If a grievance alleges sexual harassment, the matter will be referred to the Title IX Office and the grievance will be placed in abeyance pending review by that office.

Step II Formal Review of Grievance

- 1) A formal grievance must be filed in writing with the grievance liaison within 30 calendar days of the date the grievant knew or could be expected to have known of the event causing the grievance. Informal review does not extend the time limit for formal filing unless a written exception is granted by the grievance liaison.
- 2) The grievance must include the following information:
  - a) If alleging that a specific act was arbitrary or capricious, the specific administrative act must be identified along with a description of how the act was arbitrary or capricious.
  - b) If alleging that a violation of applicable University rules, regulations or Academic Personnel policies occurred, identify the section and specific provision alleged to have been violated and how those provision were violated;
  - c) The name of the person alleged to have carried out the act or violation of rules, regulations or policy
  - d) The date of the act or violation.
  - e) How the grievant was adversely affected;
  - f) The date of any attempted ~~at~~ informal resolution and identity of the individuals involved; and
  - g) The remedy requested.
- 3) After receiving the written grievance, the grievance liaison will determine if the grievance is complete, timely, within the jurisdiction of APM-140, and contains sufficient facts to support the grievance. Within 10 calendar days of receipt the grievance liaison will inform the grievant of the acceptance of the grievance.

If the grievance liaison informs the grievant that additional information is needed, the grievant will have ten calendar days to provide the information. When the information provided by the grievant is complete, the grievance liaison will notify the grievant in writing that the formal grievance process has commenced. All further time limits are based on that date.

The grievance may be dismissed if the grievant fails to provide the requested additional

information, or if the grievance is untimely or outside the jurisdiction of APM-140. If the grievance is dismissed at this stage the grievance liaison will provide the grievant with a written explanation of the basis for the dismissal.

- 4) The grievance liaison will forward the grievance immediately to the appropriate department chair or comparable authority who, after appropriate review, shall render a decision on the grievance within 30 calendar days and submit it in writing to the grievance liaison. The written decision should be addressed to the grievant. The response must include the reasons for the decision and must also inform the grievant of the right to appeal the decision to Step III.
- 5) The grievance liaison will forward the decision immediately to the grievant, with copies to the respective dean and department chair.

### Step III Administrative Review or Hearing

A grievance that is not resolved at Step II may be appealed for resolution at Step IIIa or Step IIIb, but not both, depending on the issues of the grievance. Matters not eligible for a hearing, such as matters involving title or salary, are handled through administrative review (Step IIIa). Only allegations of violations of certain academic personnel policies or terms and conditions of employment are subject to a hearing (see below). The grievance liaison shall determine whether Step IIIa or Step IIIb is the appropriate route to take.

#### Step IIIa Administrative Review

- 1) Appeal to Step IIIa must be in writing and must be received by the grievance liaison within 15 calendar days of the date the Step II response was issued or due, whichever comes first. The appeal must specify the unresolved issues and the remedy requested.
- 2) The grievance liaison will forward the grievance to the Associate Vice Chancellor for Academic Personnel or designee for review within 7 calendar days.
- 3) The Associate Vice Chancellor shall provide a written decision to the grievant within 30 calendar days following receipt of the appeal to Step IIIa. The decision shall include the reasons for the decision if the decision of the Step II review is rejected or modified and a statement that the decision is final.

#### Step IIIb Hearing

- 1) The appeal to Step IIIb must be received by the grievance liaison within 15 calendar days of the date the Step II response was issued or due, whichever comes first. The appeal must be in writing and must set forth the unsolved issues and remedy requested.
- 2) Only appeals alleging of violations of the following may be submitted to the hearing officer.
  - Nondiscrimination (APM 035)
  - Layoff and Involuntary Reduction in Time (APM 145)
  - Corrective Action (Censure, Suspension, Demotion)
  - Dismissal
  - Procedural irregularity in personnel review process
- 3) Within 7 calendar days from receipt of the written request, the grievance liaison will determine whether the appeal has identified an issue eligible for hearing consideration. If the appeal has not identified an issue eligible for a hearing consideration, the grievance liaison will inform the grievant and submit the appeal for determination under Step IIIa. If the appeal is eligible for hearing consideration the request will be forwarded to the Associate Vice Chancellor for Academic Personnel.
- 4) The grievant may elect that the grievance be heard by: either a University hearing officer or a non-University hearing officer. Election shall be in writing and shall be final.
  - (a) University Hearing Officer  
The grievance liaison will maintain a current list of three to five individuals who have

agreed to serve as a hearing officer. These individuals will be faculty or other non-student academic appointees who have a practical understanding of academic employer-employee relationships and academic personnel policies. The list will be made available to the grievant prior to deciding whether to select a University or non-University hearing officer. The parties will arrange alternately to strike names, and the person whose name remains will become the University hearing officer.

(b) Non-University Hearing Officer:

If the grievant elects a hearing before a non-University hearing officer, the grievance liaison will request from the American Arbitration Association a list of five names. Upon receipt, the parties will arrange alternately to strike names, and the person whose name remains will become the non-University hearing officer.

Whenever possible the hearing officer will be selected within 45 calendar days from receipt of the grievant's election of hearing officer and within 60 calendar days of the date of the selection of the hearing officer a hearing date will be scheduled.

- 5) In advance of the hearing, the parties shall attempt to stipulate in writing issues to be submitted for review at the hearing. If the parties cannot agree on the issues, the hearing officer shall define them.
- 6) Each party shall, upon request, provide the other with copies of material to be introduced at the hearing and names of witnesses who will testify on the party's behalf. To the extent possible, such materials and names shall be exchanged at least 10 calendar days prior to the hearing.
- 7) The hearing officer shall convene a hearing in which each party shall have the opportunity to present evidence and cross-examine witnesses. The hearing shall be closed and confidential.
- 8) The hearing shall be tape recorded unless both parties agree in advance to share the costs of a stenographic record.
- 9) The hearing officer shall provide the Associate Vice Chancellor with a written statement of findings and recommendations within 30 calendar days of the close of the hearing.

The hearing officer shall not substitute their judgment for the academic judgment of a peer review committee or administrative officer, nor shall the hearing officer be empowered to evaluate the academic qualifications or competence of academic appointees.

- 10) The Associate Vice Chancellor shall issue a final written decision within 30 calendar days of receipt of the findings or recommendations of the hearing.
- 11) The Associate Vice Chancellor shall provide to the grievant a copy of the findings and recommendations of the hearing officer, and a statement of the reasons if the recommendations of the hearing officer are rejected or modified.

IX-30  
**POLICY AND PROCEDURES ON LAYOFF AND INVOLUNTARY REDUCTION  
IN TIME FOR NON-SENATE, NON-REPRESENTED ACADEMIC APPOINTEES**  
(Revised ~~2/20~~)

I. Related Policies

APM 145 Layoffs-Non-Senate Academic Appointees  
APM 140 Appeals-Non-Senate Academic Appointees

II. Background

It is University policy to provide equitable and consistent treatment for academic appointees, both full-time and part-time, in the event their appointments must be terminated due to lack of work, lack of funds or discontinuance of a program or there is an involuntary reduction in percent of time.

III. A. Application of Layoff and Involuntary Reduction in Time.

The provisions of this section are applicable to all academic appointees (see Supplement I and II) of the University of California, Santa Barbara, other than:

1. Members of the Academic Senate.
2. Employees covered by a Memorandum of Understanding (MOU).

The expiration of a term appointment as of the originally specified ending date does not constitute a layoff

B. Determination of Layoff and Involuntary Reduction in Time.

Department Chairs or Heads of Organized Research Units, Programs and Divisions (hereafter referred to as Chairs) are responsible for determining the need for, the order of and to coordinate layoffs and involuntary reductions in time with the appropriate Deans, Directors and the Associate Vice Chancellor for Academic Personnel.

The Academic Personnel Office will not process forms to implement either action if they do not conform to University and campus policies and procedures.

C. Order of Layoff and Involuntary Reduction in the Percent of time will normally be determined on the basis of:

1. Exceptional skill, knowledge or ability that is essential to the operation of the department or unit, as determined by the Chair.
2. When there is no substantial difference in degree of special skills, knowledge, or ability essential to the department or unit, the order of layoff or involuntary reduction in time shall be in inverse order of seniority.

Seniority shall be established on the basis of the number of months of full-time equivalent service with the University.

IV. Procedures

A. Upon determining the need for a layoff, or an involuntary reduction in time, and the order in which it is to be accomplished, the Chair will submit a recommendation (Exhibit A), to the Associate Vice Chancellor for Academic Personnel via the appropriate Dean or Director as applicable. The recommendation shall include the following:

1. Name of appointee to be laid off or reduced in time; appointee's rank, step, and months of service.
2. Statement of the specific conditions that make the action necessary, i.e., an explanation of why there is a lack of work, lack of funds, or discontinuance of a program.

3. Names of other appointees in the department within the same category of employment (e.g. Professional Research series, Specialists, etc.) with their title, rank, step, months of service, and area of expertise.
  4. Justification of the order of layoff or involuntary reduction in time. (Note: the appointee may request a written summary of the reasons for the order of layoff or involuntary reduction in time.)
  5. A copy of the written notification the Chair proposes to send to the appointee, which shall include:
    - a. the reason for the action,
    - b. the effective date,
    - c. how earned vacation will be handled,
    - d. Benefits continuation contact information
    - e. the link for UC Recruit as a resource for open positions on campus
  6. The Chair's signature is certification that **he/she has** **they have** investigated all facts in the case and determined that there is no alternative to the proposed action.
  7. An up to date copy of the employee's bio-bibliography or CV.
- B. The Dean or Director shall review the proposal, as appropriate, and, if satisfied that the proposed action is unavoidable and the selection of the appointee was made in accordance with policies and procedures, will endorse the proposal and forward it to the Associate Vice Chancellor for Academic Personnel.
- C. The Office of the Associate Vice Chancellor for Academic Personnel shall review the request for compliance with University policies and procedures. The Associate Vice Chancellor for Academic Personnel or designate, shall notify the Chair in writing of the final decision. The thirty (30) day notice period begins on the date the Chair is notified of the Associate Vice Chancellor's approval.
- D. If the layoff or involuntary reduction in time is approved, the Chair will inform the individual in writing and forward a copy of the notification letter to the Academic Personnel Office.
- E. Written notice

Except for Continuing Education Specialists (APM 340-20-e), written notice of layoff or involuntary reduction in time must be given to an appointee covered by this policy at least thirty days in advance of the effective date. It is recommended that the appointee be given as much additional notice as possible. Appropriate pay in lieu of notice may be given.

F. Layoff Status.

An individual in layoff status is given preferential consideration for reemployment during the 12 month period immediately following the date of layoff. Layoff status as used in this Section and section G. includes involuntary reductions in time.

1. Vacancies occurring in the same administrative unit and title series from which the individual has been laid off shall be filled by persons in layoff status, provided a qualified person is available.

Preference for re-employment shall be granted to:

- a. Appointees on layoff status;
  - b. Appointees whose time has been involuntarily reduced; or
  - c. Appointees who have received written notice of layoff or involuntary reduction in time within the six months prior to implementation of layoff or involuntary reduction in time.
2. If two or more qualified persons are in layoff status from the same unit, the individual who was laid off last should be the first to be rehired.
  3. Subject to approval by the Associate Vice Chancellor for Academic Personnel, a position which requires special skills, knowledge or abilities may be filled by an individual who possesses the required skills but is not in layoff status even if an individual in layoff status, but who does not possess the skills, knowledge and abilities, is also an applicant for the position.

4. The Office of the Associate Vice Chancellor for Academic Personnel shall maintain a roster of all persons in layoff status.
5. When a person is reemployed after a period of layoff not exceeding 12 months, the periods before and after layoff shall be considered as continuous or uninterrupted service for the limited purpose of applying University policies regarding seniority, sick leave, vacation, holidays, other leaves, reduced fees, and salary advancement by merit increases or promotion. However, benefits and credits for service, including those related to any retirement system, do not accrue during periods of layoff status.
6. Layoff status may be less than one year, if appointment would have normally expired for those appointments with specified ending date, or reappointment occurs within the campus to the same or equivalent position.

#### G. Reemployment

A hiring unit may reemploy a person in layoff status by inputting the information to the payroll system. The hiring unit is not required to conduct an open search for the position.

#### H. Appeals

Layoff decisions may be appealed in accordance with policies and procedures set forth in APM 140 and Regents' Standing Order 103.9.

EXHIBIT A

LAYOFF AND INVOLUNTARY REDUCTION IN TIME

IT IS PROPOSED THAT THE INDIVIDUAL NAMED BELOW BE LAID OFF OR REDUCED IN TIME FOR THE FOLLOWING REASON:

Lack of work \_\_\_\_\_

Lack of funds \_\_\_\_\_

NAME \_\_\_\_\_

TITLE \_\_\_\_\_

STEP \_\_\_\_\_

MONTHS OF SERVICE \_\_\_\_\_

ADMINISTRATIVE UNIT \_\_\_\_\_

FUNDING SOURCE(S) \_\_\_\_\_

Name

Account number

EFFECTIVE DATE OF ACTION \_\_\_\_\_

REASONS: \_\_\_\_\_

Attach copy of updated Bio-bibliography or C.V.

Provide the requested information concerning all other appointees in the unit who hold appointment in the same title:

Name \_\_\_\_\_

Rank \_\_\_\_\_

Step \_\_\_\_\_

Months of Service \_\_\_\_\_

Reason not selected: \_\_\_\_\_

(Use additional pages to complete this section. Include names of others who hold appointment in the same title.)

I certify that the above information is correct.

\_\_\_\_\_  
Principal Investigator                      Date

\_\_\_\_\_  
Department Chair/Unit Head                      Date

\_\_\_\_\_  
Dean/Director                                      Date

\_\_\_\_\_  
Vice Chancellor for Academic Personnel                      Date

ACADEMIC APPOINTEES NON-SENATE MEMBERS  
(FACULTY)

Adjunct Series

Assistant Adjunct Professor  
Associate Adjunct Professor  
Adjunct Professor

Visiting Titles

Visiting Assistant Professor  
Visiting Associate Professor  
Visiting Professor

ACADEMIC APPOINTEES NON-SENATE MEMBERS  
(NON-FACULTY)

\*Librarian Series

Assistant Librarian  
Associate Librarian  
Librarian  
Assistant University Librarian  
Associate University Librarian

\*Professional Research Series

Assistant Research  
Associate Research  
Research

\*Project Scientist Series

Assistant Project Scientist  
Associate Project Scientist  
Project Scientist

\*Specialist Series

Junior Specialist  
Assistant Specialist  
Associate Specialist  
Specialist

Other Titles

Academic Coordinator  
Extension Teacher  
Continuing Educator  
Associate University Librarian  
Assistant University Librarian  
~~Graduate Student Researcher~~

Visiting Titles

Visiting Assistant Research  
Visiting Associate Research  
Visiting Research  
Visiting Assistant Project Scientist  
Visiting Associate Project Scientist  
Visiting Project Scientist  
Visiting Jr. Specialist  
Visiting Assistant Specialist  
Visiting Associate Specialist  
Visiting Specialist

\*If represented by a Union, see applicable provisions in the appropriate MOU.