PROFESSIONAL RESEARCH SERIES

(Revised 5/24)

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 an overlapping step)
B. Associate Research I – IV (Step IV is 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 overlapping step of 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.

VI.

VII. **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. Final bio-bibs are generated by the online bio-bib system and are tailored to the specific series.

VIII. **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.]
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> 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 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.

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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.

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VII. Approval Authority

Action	Authority
All actions	Associate Vice Chancellor for Academic Personnel