Agenda

- Resources
- Research Titles Overview
- Appointments
- Reappointments/Modifications
- Advancements
- Contingent Workers
- UC Path – Short Work Break, End Date Monitoring, and Leaves
Academic Personnel Contacts

**Joanna Kettmann**  x5048  joanna.kettmann@ucsb.edu
Research Titles, Contingent Workers

**Billy Ko**  x4441  billy.ko@ucsb.edu
Postdoctoral Scholars, Graduate Student Employees

**Joanie Vogel**  x3445  joanievogel@ucsb.edu
Additional Compensation

* For UC Path questions, email [AP-PATH@ucsb.edu] *
Web Resources

Red Binder - UCSB Academic Personnel policies and procedures

Academic Personnel Manual (APM) - UC System-Wide Academic Personnel policies and procedures

UCSB salary scales

Forms

All online via AP Folio: https://ap.ucsb.edu/
Research Titles - Section III. of Red Binder

Temporary

Fiscal Year Basis

No Teaching Component

Contract & Grant Funded

Search Required
Research Titles - Section III. of Red Binder cont.

- Bargaining underway (UAW) – represented; “RA Unit”.
- Salary Scales – UCSB min. hire rate 7/1/18 for represented titles & 7/1/19 (non-rep; supervisors)
- DOL ruling – FLSA – exempt vs. non-exempt; $23,660 threshold. Effective January 1, 2020 @ $35,568 threshold.
- AVC for Academic Personnel – the approval authority for all actions
Specialist Series (RB III-16)

- Academic fiscal year appointees who engage in **specialized research**
- Expected to use their professional expertise to make scientific & scholarly contributions to the research enterprise of University & to achieve recognition in professional and scientific community.
- Ph.D. not required
- 4 ranks (Junior through Full Specialist)
  - Specific education/experience requirements at each rank
- Single salary scale - Table 24 (Monthly) & 24N (Hourly) & NEW: 24A (Non-Rep; Supervisory) & 24A (N) – Non-Rep; Hourly
General guidelines for Specialist ranks:

**Junior Specialist**
- Baccalaureate degree or have equivalent research experience.
- Enables research as part of a team.

**Assistant Specialist**
- Master’s degree or have 5 yrs. of experience.
- Enables research as part of a team & may provide some independent input into the planning & execution of the research.
General guidelines for Specialist ranks cont.

**Associate Specialist**
- Master’s degree or have 5-10 yrs. of experience.
- Considerable independent input into planning & execution of the research, have a record of academic accomplishments, incl. contributions to published research in field.

**Specialist**
- Terminal degree (Ph.D.) or have 10 or more yrs. of experience.
- Considerable independent input into planning & execution of the research, have a significant record of academic accomplishments, incl. contributions to published research in field, etc.
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## Project Scientist Series
*(RB III-14)*

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<th>Description</th>
<th>Academic fiscal year appointees who make significant &amp; creative contributions to a research or creative project</th>
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| Independence | Higher level of independence than in the Specialist series  
• Fully independent research or research leadership are not required in this series |
| Qualifications | Ph.D. required |
Academic fiscal year appointees who engage in independent research equivalent to that required for the Professor series.

- Review requirements same as Professor series.

Description

Demonstrated continuous and effective engagement in independent/creative activity of high quality and significance.

Independence

Qualifications

Ph.D. required
Visiting Appointments

( RB III-23 )

- Professional Research, Project Scientist, or Specialist series (Visiting Specialist coming soon!)
- Two year maximum; usually shorter - each appointment or reappointment shall not exceed one year
- **Must** hold a similar title at another academic institution. If they do not, they must be appointed in the regular series (which means having a search), regardless of how short of a time they are here
- Salary may not be below the UCSB minimum rate for the rank. No Steps.
  - Visiting appointments are not in the union. Please see **non-represented scales** in each of the series.
Appointments

- Initial appointment
  - New appointment (or after a break in service)
  - Transition into a new title in temporary research series
  - Online for Researchers, Project Scientists, Specialists via AP Folio “Appointments”
  - On paper for “Visiting”

- Please note, once appt is approved, a position either is created or modified by APO in order for depts./units to hire into UCPath.
Visa issues

Four items needed:

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Questions about Visa issues

Office of International Students & Scholars (OISS)
http://oiss.sa.ucsb.edu/contact-us

J-1 Scholar Advisors: Jason Hopkins & Mavel M. Marina
Jason.Hopkins@sa.ucsb.edu
Mavel.Marina@sa.ucsb.edu

Employment-Based Visa Specialist: Kayleen McDonald
Kayleen.Mcdonald@sa.ucsb.edu

Business & Financial Services
Lan Nguyen x 3259 Lan.Nguyen@bfs.ucsb.edu
(Tax questions)
Contents of a case - Appointment (RB III-7)

- Departmental Letter
- External letters and other related items
- Publications
- UCSB Biography form and CV
- Approved Open Search/approved Search Waiver/or Exemption
- Position Information
Appointment Case
Summary/Upload screen

Summarizes content of appointment case and recommendation

Enter present & proposed status

Statement of review procedure

Search Information
Departmental Letter
(RB III-7)

- Analytical and evaluative (Red Binder I-35)
- Must be in memo format
- From the Chair/Director - with their signature on letter, but may be written by PI, for example, not staff
- The review procedure should be explained (i.e. committee review, Chair/Director review, or PI review and Chair/Director concurs with the assessment)
- If external evaluators refer to by coded list only
External Letters

- Requirements vary by title:
  - Researcher, required at Associate, Full appointment
  - Project Scientist “normally required” at Associate, Full appointment – see RB III-14, VI. External Evaluation section

- Sample letters (RB I-49) with wording modified as appropriate for research titles (RB III-12 & RB III-14)

- Confidentiality requirements (RB I-49)
  - Statement
  - Redaction and access since not yet an employee
  - Identification in departmental letter (coded list: i.e. A, B, C)

- List of evaluators, copy of sample letter (RB I-49)
Other items in appointment case

- **Publications**
  - Representative sampling for all temporary research series (one-of-a-kinds)

- **UCSB Biography Form and CV**
  - UCSB Bio Form can be found under Forms section on AP Folio
  - No set format for CV

- **Search Documentation**
  - Approved search (J PF # from UC Recruit) or approved search waiver (SWR # from UC Recruit), must be included if required by policy

- **Position Information**
  - Create New Position or Use Existing Vacant Position #
Reappointments/ Modifications

Reappointment? An extension of appointment (i.e. renewal of funding).

Modification? A request to “modify” an existing appointment (i.e. a % time change).

AP UCPath team will update UCPath - upon receipt of approval notification.

* Need AVC approval...
Reappointment/Modification cont.

- AP Folio via the “Reappointments/Modifications” module
- Can submit a Reappointment AND Modification at the same time (explain in the admin comments box what the “modification” specifics are)
- Shared employees/multi-unit funded – one lead (home) department – of the “position”
- Search requirements – if search already done for the position, nothing additional to do
- Changes that need a search?
- Monitor “Ending Appointments”; Plan ahead!
Extension of an existing Search Waiver

An existing waiver with an end date may be extended if the appointment continues to meet the criteria under which the waiver was originally granted.

The request to extend may be included with the reappointment request & must specify the new end date.
Now let’s take a 10 min. break...
Eligibility for Advancement

- “Normal” eligibility - routine reviews
  - Based on the salary scales and policy
  - Six months or more, with or without salary, in fiscal year equals one year of service

- Tracking of eligibility - all of the temporary research series are being tracked centrally: Professional Researchers, Project Scientists, & Specialists populations. Eligibility lists were released on September 1, 2019 via AP Folio’s “Eligibility Listing” link.
Eligibility for Advancement cont

- Off-scale salaries (RB I-8)
  - Maintained in routine cases and can be used as a form of acceleration
  - Off-scale
  - Result of the way the salary increases have been designed by the Office of the President. UCSB min. hiring rate is the way our campus has chosen to implement.
- Market
- Merit
- All combined into a single figure
Types of Advancement

(RB III-8)

- Regular Merit (on time) – from one step to another within a rank
- Promotion – movement between ranks; change in title
- Accelerations
  - Justification
  - No set measures
  - Kinds of acceleration
    - In years
    - In salary
    - Mixed
- “No Change” Decisions
Promotion & Special Steps

- Promotion to Associate/Full level
  (RB III-8, Section III, IV)
  - Professional Research series
    - 8 year limit as Assistant
    - Time off the clock (up to two years, max.)
  - Project Scientist & Specialist

- Merit to Special Step
  (RB III-8, Section V)
  - Asst Researcher V, Assoc Researcher IV
  - Asst Project Scientist V, Assoc Project Scientist IV
Merit to or within Above Scale

- Merit to or within Above Scale
  
  (RB III-8, Section VI)
  
  - Career review
  
  - RB I-43 guidelines apply to Researcher above scale actions
Types of Advancement: Professional Research series only

- Terminal Appointments
  (RB III-8, Section VIII; RB I-39)
- Merit to Researcher VI
  (RB III-8, Section IX; RB III-12, Section VI)
- Career review
Advancement Deadlines

Professional Researchers

- ORUs—**March 2** to Academic Personnel
- Academic Departments—**March 2** to Dean’s office

Specialists & Project Scientists

- All—**April 2** to Academic Personnel
Mandatory Reviews & Deferrals

(RB III-8, Section VII)

- **Mandatory Reviews**
  - Every 5 years
  - No deferral

- **Assistant Researchers**
  - Deferral is possible, although discouraged
  - No deferral of 8th year review

- **Specialist series, Project Scientist series, Associate Researchers, & Researchers**
  - Employee request or
  - Non-submission of material in other than mandatory reviews causes automatic deferral
Contents of a case - Advancement
(RB III-9)

- All online cases; via “Merits & Promotions” in AP Folio
- Departmental Letter
- Bio-bib required
- External letters and other related items (anything sent to reviewers)
- Publications
- Safeguard Statement
**Advancement Case**  
**Summary/Upload screen**

- Generated from eligibility list
- Shows present status
- Summarizes content of advancement case and recommendation
- Statement of review procedure & comments
Departmental Letter

- Analytical evaluation of the case in all appropriate review areas

- Explain any accelerations or special circumstances (i.e. special steps, retentions)

- Identify external evaluators by **code only**
Bio-Bibliography and Publications

- Campus cut-off dates
  - Research series – December 31
  - Project Scientist/Specialist – January 31
- Bio-Bib must follow format in Red Binder (I-27) excluding Teaching section
- Research
  - Cumulative (others since last review)
  - Oldest = lowest number
  - Changes since last review
- Publications numbered to match bio-bib. If pubs being submitted via an electronic link, link must be listed at end of “Title & Author” info. & must go directly to the specific item.
- All, or representative sampling of publications depending on case type and series.
External letters

- Requirements vary by title:
  - Researcher and Project Scientist – required for promotion to Associate or Full
  - See External Evaluation section in RB III-12 & RB III-16

- Sample letters (RB I-46) with wording modified as appropriate for research title(s)

- Confidentiality requirements
  - Statement
  - Redaction and access for employees
  - Identification in departmental letter

- List of evaluators, copy of sample letter
Safeguard Statement for Temporary Academic Titles (RB III-5)

- Online; candidate signs onto AP Folio to submit
- Not used for initial appointment at University
- Assures candidate’s rights
- Follows steps outlined in “Departmental Checklist for Academic Advancement” (RB I-22)
- Must be signed prior to forwarding the case
Contingent Workers - Without Salary

Visitors

(RB III-25)

- A person on temporary leave from a non-UC academic appointment, other employment, or student enrollment at a non-UC institution or entity.
- Participates in short-term educational, research, or other academic projects under the supervision of an academic appointee.
- **Visiting Scholar**: Job Code CWR015
  - **Visitor (Graduate Student)**: Job Code CWR003
  - **Visitor (Undergraduate)**: Job Code CWR016
- Up to one year, reappointments rare
- Not employees, no compensation via payroll
- Chair/Director approval (AP does post-audit)
Contingent Workers - Research Associate & Research Fellow (RB III-20)

- Non-salaried (without salary) appointments for scholars of distinction/visiting fellows whose main affiliation is elsewhere but who maintain a recognizable research affiliation with UCSB. May serve as Co-PI by exception.

- **Research Associate**: Job Code CWR022
  - Must possess a Ph.D. or equivalent training in the field.
  - Research Associate must have established record of independent research.

- **Research Fellow**: Job Code CWR021
  - Up to three years per appointment. No limit on total length.
  - Chair/Director approval (AP does post-audit)

- [https://ap.ucsb.edu/resources.for.department.analysts/faqs/contingent.workers/](https://ap.ucsb.edu/resources.for.department.analysts/faqs/contingent.workers/)
## Courtesy and Without Salary Academic Titles

<table>
<thead>
<tr>
<th>Title/series</th>
<th>Red Binder reference</th>
<th>use</th>
<th>requirements/criteria</th>
</tr>
</thead>
<tbody>
<tr>
<td>Research Associate/Fellow</td>
<td>III-20</td>
<td>Courtesy title for individuals with (1) main affiliation at another institution but ongoing association with UCSB or (2) establishing a relationship with UCSB but not yet funded. By exception may be co-PI</td>
<td>Ph.D or equivalent. Research Associate independent research. Research fellow from another university or fellowship, does not need independent research.</td>
</tr>
<tr>
<td>Visiting Scholar/Visiting Grad or Undergrad Student</td>
<td>III-25</td>
<td>Temporary visitor, usually 1 year or less</td>
<td>Main affiliation elsewhere with intention of return. RB III-25</td>
</tr>
<tr>
<td>Research series wos</td>
<td>III-12</td>
<td>Main affiliation is UCSB but no current salary support. If no work being done, short work break may be more appropriate in UCPath</td>
<td>Should be with intent of securing III-12. UCSB must be primary employer</td>
</tr>
<tr>
<td>Proj Sci/Specialist wos</td>
<td>III-14, III-16</td>
<td>(1) Main affiliation is UCSB, but funding is from an external source, or part of a joint program with some other institution or (2) co-PI but no current salary support.</td>
<td>Must document external funding. III-16. UCSB must be primary employer</td>
</tr>
<tr>
<td>Visiting Researcher or Visiting Project Scientist</td>
<td>III-22</td>
<td>Short term (up to 2 years) visitor fitting criteria and being supported by their home institution (i.e. sabbatical) or an academic or research position at a non-academic institution</td>
<td>Has held, is on leave from, or is responsible for academic or research position at a non-academic institution</td>
</tr>
</tbody>
</table>

[https://ap.ucsb.edu/resources.for.department.analysts/wos.matrix.pdf](https://ap.ucsb.edu/resources.for.department.analysts/wos.matrix.pdf)
Short Work Break  
(RB VI-18)

- An employee may be put on SWB in specific situations where there is a break in paid service to the University. SWB should only be used when there is intent to return to paid service within a specified period of time.

- **Research appointments** - The employee may be put on SWB during periods of an approved appointment when a break in funding occurs and NO WORK is being performed.

- Research SWB is limited to four months.

- Can be requested online, via AP Folio’s “UCPath Certification and Input Requests for Non-Student Academic Employees”

- Very rarely. Usually the PI. **Consult with AP first**.
End dates monitoring - expected job end dates in UCPath

Departments monitor list of end dates, using Data Warehouse/AP Folio

Dept determines *in advance*

Extend end date: Submit the reappointment case, then once approved, AP UCPath team updates UCPath. OR

Appointment ending: (1) Dept checks “appt ending” flag via Reappt/Mod; Ending Appts on AP Folio, then (2) Terminates job & does final pay (in UCPath).

Can check “End Job Automatically” flag in UCPath if it is clear job will end.
Leaves of Absence
(RB VI-1, D)

- Leave requests for periods of more than 7 calendar days (other than vacation and sick leave for those in accruing titles) must be forwarded to (the Dean) or AVC for Academic Personnel for approval.
  - Use “Leave Processing” on AP Folio
  - The approved Academic Leave(s) is entered into UCPath by AP UCPath team.
  - Any questions, please contact AP.
Any questions?
Thank you for coming.