

# Research Titles Appointments and Advancements

**October 19, 2023**



# Agenda

- Resources
- Research Titles Overview
- Appointments
- Reappointments/Modifications
- Advancements
- Contingent Workers
- UCPath – Short Work Break, End Date Monitoring, and Leaves



# Academic Personnel Contacts

**Joanna Kettmann**      **joanna.kettmann@ucsb.edu**

Research Titles, Contingent Workers

**Billy Ko**      **billy.ko@ucsb.edu**

Postdoctoral Scholars, Graduate Student Employees

\* For UCPath questions, email [AP-PATH@ucsb.edu](mailto: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

**Academic Researcher Collective Bargaining Agreement** - At UCSB, this agreement covers the following series: Researcher, Project Scientist, and Specialists

**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.**

- Represented by the UAW – Academic Researcher Unit.
- Salary Scales – UCSB min. hire rate
- DOL ruling – FLSA – exempt vs. non-exempt; \$35,568 threshold.
- AVC for Academic Personnel – the approval authority for all actions
- RB III-1 General Information



# Specialist Series

## (RB III-16; MOU Article 26)

- 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
  - Total duration at the Jr. rank may not exceed 3 yrs.
- Single salary scale - Table 24B (Monthly) & 24B(N) (Hourly) & 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** Baccalaureate degree + have 3 or more yrs. of research 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.

**TABLE 24B  
REPRESENTED SPECIALIST SERIES  
FISCAL YEAR  
SALARY SCALE**

<b>Rank</b>	<b>Step</b>	<b>Years at Step</b>	<b>7/1/2022 Annual</b>	<b>7/1/2022 Monthly</b>	<b>7/1/2023 Annual</b>	<b>7/1/2023 Monthly</b>	<b>UCSB Minimum Annual</b>	<b>UCSB Minimum Monthly</b>
<b>Junior Specialist</b> (3330)	I	1	\$49,000	\$4,083.33	\$51,300	\$4,275.00	\$52,600	\$4,383.33
	II	1	\$52,200	\$4,350.00	\$54,600	\$4,550.00	\$56,000	\$4,666.67
<b>Assistant Specialist</b> (3320)	I	2	\$56,600	\$4,716.67	\$59,200	\$4,933.33	\$59,800	\$4,983.33
	II	2	\$59,800	\$4,983.33	\$62,500	\$5,208.33	\$63,100	\$5,258.33
	III	2	\$63,000	\$5,250.00	\$65,900	\$5,491.67	\$67,700	\$5,641.67
<b>Associate Specialist</b> (3310)	I	2	\$67,400	\$5,616.67	\$70,500	\$5,875.00	\$72,400	\$6,033.33
	II	2	\$70,700	\$5,891.67	\$73,900	\$6,158.33	\$75,900	\$6,325.00
	III	2	\$74,500	\$6,208.33	\$77,900	\$6,491.67	\$80,100	\$6,675.00
	IV	2	\$78,500	\$6,541.67	\$82,100	\$6,841.67	\$84,400	\$7,033.33
<b>Specialist</b> (3300)	I	3	\$83,100	\$6,925.00	\$86,900	\$7,241.67	\$89,400	\$7,450.00
	II	3	\$91,300	\$7,608.33	\$95,500	\$7,958.33	\$98,200	\$8,183.33
	III	3	\$101,900	\$8,491.67	\$106,500	\$8,875.00	\$109,500	\$9,125.00
	IV	3	\$114,600	\$9,550.00	\$119,800	\$9,983.33	\$123,200	\$10,266.67
	V	3	\$126,900	\$10,575.00	\$132,700	\$11,058.33	\$136,500	\$11,375.00
	VI	3	\$137,600	\$11,466.67	\$143,800	\$11,983.33	\$145,200	\$12,100.00
	VII	3	\$147,500	\$12,291.67	\$154,200	\$12,850.00	\$155,700	\$12,975.00
	VIII	3	\$157,900	\$13,158.33	\$165,100	\$13,758.33	\$166,800	\$13,900.00
	IX	4	\$173,900	\$14,491.67	\$181,800	\$15,150.00	\$183,600	\$15,300.00

**NOTES:**

For employees in any of the above-referenced titles who are exclusively represented, the application of the Salary Scale is subject to the requirements of the Higher Education Employer-Employee Relations Act (HEERA). As such, for employees covered by a Memorandum of Understanding (MOU), the Salary Scale applies to the extent provided for in the MOU.

**TABLE 24B(N)**  
**REPRESENTED SPECIALIST SERIES - NON-EXEMPT**  
**FISCAL YEAR**  
**SALARY SCALE**

<u>Rank</u>	<u>Step</u>	<u>Years at Step</u>	<u>7/10/2022 Hourly</u>	<u>7/9/2023 Hourly</u>	<u>UCSB Minimum Hourly</u>
<b>Junior Specialist</b> (3329)	I	1	\$23.47	\$24.57	\$25.19
	II	1	\$25.00	\$26.15	\$26.82
<b>Assistant Specialist</b> (3321)	I	2	\$27.11	\$28.36	\$28.65
	II	2	\$28.64	\$29.94	\$30.23
	III	2	\$30.18	\$31.57	\$32.43
<b>Associate Specialist</b> (3311)	I	2	\$32.28	\$33.77	\$34.68
	II	2	\$33.87	\$35.40	\$36.36
	III	2	\$35.69	\$37.31	\$38.36
	IV	2	\$37.60	\$39.32	\$40.42
<b>Specialist</b> (3301)	I	3	\$39.80	\$41.62	\$42.82
	II	3	\$43.73	\$45.74	\$47.03
	III	3	\$48.81	\$51.01	\$52.45
	IV	3	\$54.89	\$57.38	\$59.01
	V	3	\$60.78	\$63.56	\$65.38
	VI	3	\$65.91	\$68.87	\$69.54
	VII	3	\$70.65	\$73.86	\$74.58
	VIII	3	\$75.63	\$79.08	\$79.89
	IX	4	\$83.29	\$87.07	\$87.93

**NOTES:**

For employees in any of the above-referenced titles who are exclusively represented, the application of the Salary Scale is subject to the requirements of the Higher Education Employer-Employee Relations Act (HEERA). As such, for employees covered by a Memorandum of Understanding (MOU), the Salary Scale applies to the extent provided for in the MOU.

**TABLE 24A  
NON-REPRESENTED SPECIALIST SERIES  
FISCAL YEAR  
SALARY SCALE**

<b>Rank</b>	<b>Step</b>	<b>Years at Step</b>	<b>7/1/2022 Annual</b>	<b>7/1/2022 Monthly</b>	<b>7/1/2023 Annual</b>	<b>7/1/2023 Monthly</b>	<b>UCSB Minimum Annual</b>	<b>UCSB Minimum Monthly</b>
<b>Junior Specialist</b> (3333, Visiting-3335, WOS-3328)	I	1	\$49,000	\$4,083.33	\$51,300	\$4,275.00	\$52,600	\$4,383.33
	II	1	\$52,200	\$4,350.00	\$54,700	\$4,558.33	\$56,100	\$4,675.00
<b>Assistant Specialist</b> (3323, Visiting-3325, WOS-3322)	I	2	\$57,100	\$4,758.33	\$59,800	\$4,983.33	\$60,400	\$5,033.33
	II	2	\$60,200	\$5,016.67	\$63,000	\$5,250.00	\$63,600	\$5,300.00
	III	2	\$63,200	\$5,266.67	\$66,200	\$5,516.67	\$68,000	\$5,666.67
<b>Associate Specialist</b> (3313, Visiting-3315, WOS-3312)	I	2	\$67,900	\$5,658.33	\$71,100	\$5,925.00	\$73,000	\$6,083.33
	II	2	\$71,400	\$5,950.00	\$74,700	\$6,225.00	\$76,700	\$6,391.67
	III	2	\$75,200	\$6,266.67	\$78,700	\$6,558.33	\$80,900	\$6,741.67
	IV	2	\$79,300	\$6,608.33	\$83,000	\$6,916.67	\$85,300	\$7,108.33
<b>Specialist</b> (3303, Visiting-3305 WOS-3302)	I	3	\$83,900	\$6,991.67	\$87,800	\$7,316.67	\$90,300	\$7,525.00
	II	3	\$92,200	\$7,683.33	\$96,500	\$8,041.67	\$99,200	\$8,266.67
	III	3	\$102,900	\$8,575.00	\$107,700	\$8,975.00	\$110,700	\$9,225.00
	IV	3	\$115,700	\$9,641.67	\$121,100	\$10,091.67	\$124,500	\$10,375.00
	V	3	\$128,200	\$10,683.33	\$134,100	\$11,175.00	\$137,900	\$11,491.67
	VI	3	\$138,900	\$11,575.00	\$145,300	\$12,108.33	\$146,700	\$12,225.00
	VII	3	\$149,000	\$12,416.67	\$155,900	\$12,991.67	\$157,400	\$13,116.67
	VIII	3	\$159,500	\$13,291.67	\$166,900	\$13,908.33	\$168,600	\$14,050.00
	IX	4	\$175,600	\$14,633.33	\$183,700	\$15,308.33	\$185,500	\$15,458.33

# Project Scientist Series

(RB III-14; MOU Article 22)

## Description

Academic fiscal year appointees who make **significant & creative contributions** to a research or creative project

## 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

# Professional Research Series

(RB III-12; MOU Article 21)

## Description

Academic fiscal year appointees who engage in **independent** research **equivalent** to that required for the **Professor series**.

- Review requirements same as Professor series.

## Independence

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

## Qualifications

Ph.D. required



# Visiting Appointments

## (RB III-23)

- Professional Research, Project Scientist, or Specialist series
- 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” – i.e. via email attachment
  - 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:

Nationality

Length  
of  
Stay

Current  
or  
Past  
Visa  
Status

Appointment  
Details  
Job duties  
Title  
% time  
Pay rate

# Questions about Visa issues

Office of International Students & Scholars (OISS)

<http://oiss.sa.ucsb.edu/contact-us>

J-1 Scholar Advisors:

Mavel Marina & Danika Gottbrecht

[j1scholar@sa.ucsb.edu](mailto:j1scholar@sa.ucsb.edu)

Employment-Based Visa Specialist: Kayleen McDonald,  
Assistant Director, Scholar Services

[kayleen@ucsb.edu](mailto:kayleen@ucsb.edu)

Business & Financial Services

Lan Nguyen

x 3259

[lan.nguyen@bfs.ucsb.edu](mailto:lan.nguyen@bfs.ucsb.edu)

*(Tax questions)*

# Represented or Non-Rep – *that is the question...*

- **RB III-1 DRAFT General Info.** – Service limitations & Appointment lengths
- For those that are *represented*, **initial appointments** must be for 1 yr., provided: there is **work, funding, or programmatic need**. Justify if shorter in Dept. Letter
- **Reappointments** (*represented*) before the 1<sup>st</sup> advancement review **must** be for a min. of one-year terms. **Reappointments** (*represented*) following the 1<sup>st</sup> advancement review **must** be for a min. of the **normative** time at rank/step. **No exceptions**. Longer appointment term **after** 1st advancement.
- **Supervisor Duties Form** – must be supervising 2 or more non-student employees to be *non-represented*.
- *Non-represented (i.e. Supervisors)* – appts/reappts normally made for 1 year at a time, but may be longer.

# Rep or Non-Rep cont. – *helpful resources*

- See **Resources for Department Analysts; Research Appointments**
- <https://ap.ucsb.edu/resources.for.department.analysts/research.appointments/>

## Resources for Department Analysts **Research Appointments**

### POLICIES

- • [DRAFT Red Binder III-1 Temporary Research Appointments General Information](#) ⓘ
- • [DRAFT Red Binder III-12 Professional Research Series](#) ⓘ : Provides campus policies and procedures for the appointment of Professional Researchers.
- [Red Binder III-14 Project Scientist Series](#) ⓘ : Provides campus policies and procedures for the appointment of Project Scientists.
- • [DRAFT Red Binder III-16 Specialist Series](#) ⓘ : Provides campus policies and procedures for the appointment of Specialists.
- [Academic Researcher Collective Bargaining Agreement](#) ⓘ : At UCSB, this agreement covers the following series:
  - [Academic Researcher Tentative Agreement, effective 11-28-2022](#) ⓘ : Tentative Agreement between the University of California and the Academic Researchers. The University of California and the International Union, United Automobile, Aerospace and Agricultural Implement Workers of America (UAW) have agreed to a new five year contract. The parties will be finalizing the Agreement and assigning article numbers in the near future. *New Contract expiration date: September 30, 2027.*

### OTHER RESOURCES

- • [DRAFT Red Binder III-7 Documents to be Submitted for Research Appointments](#) ⓘ
- • [DRAFT Red Binder III-9 Documents to be Submitted for Research Reviews](#) ⓘ

# Contents of a case - Appointment (RB III-7 Dept. Checklist)

- Departmental Letter
- External letters and other related items
- Publications
- UCSB Bio form, CV, & Supervisor Duties Form
- **Approved** Open Search Report/**approved** Search Waiver/or Exemption
- Position Information

III-7  
**DOCUMENTS TO BE SUBMITTED BY THE CHAIR**  
**RESEARCH APPOINTMENTS**  
(Revised 9/20)

All appointment cases are to be submitted via AP Folio.

- I. **Department Letter:** 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?
  - ☐ If a request is being made to use the Engineering scale in a non-Engineering unit (RB III-12 V, A, 2 and RB III-14 V, A, 2)) is appropriate justification provided?
  - ☐ Is the off-scale supplement correct (if applicable), per off-scale general policies (RB I-8)?
  - ☐ If the salary is off-scale or above scale is it rounded to the nearest \$100 for the Research and Project Scientist series?
  - ☐ 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?
  - ☐ If no vote was taken, is the review procedure (i.e., committee, chair/director review) explained?
  - ☐ Does the departmental letter, provide thorough description of the duties to be performed as justification for the rank, requested?
  - ☐ Does the departmental letter provide an accurate, extensive, and **analytical** representation of the candidate's qualifications, justifying the proposed step and salary?
  - ☐ If the case contains extramural letters, are letter writers identified **only** by coded list, with no identifying statements?
- II. **Extramural letters of evaluation and list of evaluators** for appointment at the Associate and full level **as appropriate** for the series (See Red Binder III-12, III-14, III-16)
- Extramural Letters**
- ☐ Are the required number of letters included, including letters from UC or UC familiar referees **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, on all copies?
  - ☐ If the letters were sent via email, is a copy of the email and any attachment included?
  - ☐ Are any anomalies in the composition of reviewers explained?
- 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 I-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 either the letter or the materials went out, is a sample of each included?
- List of Referees, including brief Biography and indicating who selected referees** (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?
- III. **Complete CV and UCSB Academic biography form.**
- ☐ Is the CV up to date?
  - ☐ Is the UCSB Academic biography form complete, signed and dated?
- IV. **Copies of publications**
- ☐ Has a representative sampling of publications been submitted?
  - ☐ Have links to electronically submitted items been verified?

# 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, CV, & Supervisor Duties Form
  - UCSB Bio Form can be found under **Forms** section on AP Folio
  - No set format for CV
  - Supervisor Duties Form must be submitted (under **Forms** section)
- Search Documentation
  - **Approved** search report (JPF # 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

Reappointments  
&  
Modifications




\* Need AVC  
approval...

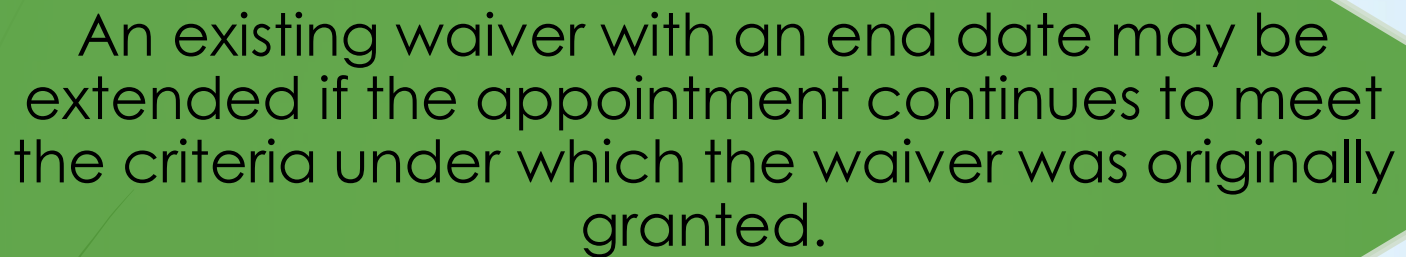
- **Reappointment?** An **extension** of appointment (i.e. renewal of funding).
- **Modification?** A request to “modify” an existing appointment (i.e. **a % time change**).
- **AP UCPath team** will update UCPath – upon receipt of **approval** notification.

# Reappointment/Modification cont.

- AP Folio via the “**Reappointments/Modifications**” module
- 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?
- Represented or Non-Rep – consideration prior to forwarding the request. **Ask AP if questions.**
- 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, 2023 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, ex. Specialist **I** to Specialist **II**.
- Promotion – movement between **ranks**; change in **title**, ex. **Assistant** Project Scientist IV to **Associate** Project Scientist I
- 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
  - Based on evidence of highly distinguished scholarship



## Automatic Step Increase: Junior Specialist rank only

- Junior Specialists do **not** undergo merit reviews.
- **Automatic** movement to Junior Specialist Step **II** will occur after 1 year of service at Step I on **July 1**.
  - Reminder: 6 months or more, in fiscal year, equals 1 year of service.
- Normal advancement will occur after 1 year of service at Step **II** for **promotion** to Assistant Specialist. This is a **promotion** case/review.
  - **MOU Article 26**

# Advancement Deadlines

## Professional Researchers


- ORUs—**March 1** to Academic Personnel
- Academic Departments—**March 1** to Dean's office

## Specialists & Project Scientists

- All—**April 1** 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 8<sup>th</sup> year review
- Specialist, Project Scientist, Research series
  - Employee request. Must state the reason why.
  - See **Case Deferral Process** under **Resources for Dept. Analysts; Research Appointments** (Other Resources)



Advancements: Depts must give notice to **all** eligible academic researchers at least six weeks before materials are due...




- **Academic Researcher Merit and Promotion Review Notification** under Resources for Dept. Analysts; Research Appointments (Other Resources)
- <https://ap.ucsb.edu/resources.for.department.analysts/research.appointments/>



# 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 and creative activity
  - Cumulative (others since last review)
  - Oldest = lowest number
  - Changes since last review
- **All** copies of publications (including in-press, submitted, & in progress items) are to be provided electronically. See [RB I-27](#) & [RB III-9](#) for further details.
- 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-14](#)
- 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
- Can see 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  
**Research Fellow:** Job Code CWR021
- Must possess a Ph.D. or equivalent training in the field.
- Research Associate must have established record of independent research.
- 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/>

## Courtesy and Without Salary Academic Titles

Title/series	Red Binder reference	use	requirements/criteria	terms
Research Associate/Fellow	III-20	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	Ph.D or equivalent. Research Associate: independent research. Research Fellow: "fellow from another university or with fellowship, does not need independent research.	no rev renew
Visiting Scholar/Visiting Grad or Undergrad Student	III-25	Temporary visitor, usually 1 year or less	Main affiliation elsewhere with intent to return. RB III-25	no rev beyon
Research series WOS	III-12	Main affiliation is UCSB but no current salary support. If no work being done, short work break may be more appropriate in UCPath	Should be with intent of securing funding. RB III-12. UCSB must be primary employer	Resear
		Short term (up to 2 years) visitor fitting criteria and being		

<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 or Co-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; MOU Article 12)

- 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.



# Research Titles Workshop – November 7 @ 1:30 p.m. – 2:30 p.m.

- Advanced topics. We will provide updates on policy and procedure changes related to the Research, Project Scientist, and Specialist series.
- In addition, we will have an in-depth discussion of various personnel actions and case preparation for research appointments and advancements.
- **The expectation is that those working with the research series attend the workshop annually.**
- **Please note:** It will **NOT** be recorded. Please sign up and attend!



# Any questions?

Thank you for attending.