

Research Titles Appointments and Advancements

October 8, 2024



Agenda

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



Academic Personnel Contacts

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

Research Titles, including Visiting, Recall, and Academic
Contingent Workers

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

Postdoctoral Scholars, Graduate Student Employees

* For UCPath 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

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 – UAW 4811
- Salary Scales – UCSB min. hire rate
- DOL ruling – FLSA – exempt vs. non-exempt; \$43,888 threshold now. Eff. 1/1/25, \$58,656 threshold. [FLSA FAQs](#).
- 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**





<u>Rank</u>	<u>Step</u>	<u>Years at Step</u>	<u>7/1/2023 Annual</u>	<u>7/1/2023 Monthly</u>	<u>7/1/2024 Annual</u>	<u>7/1/2024 Monthly</u>	<u>UCSB Minimum Annual</u>	<u>UCSB Minimum Monthly</u>
Junior Specialist (3330)	I	1	\$51,300	\$4,275.00	\$53,100	\$4,425.00	\$54,400	\$4,533.33
	II	1	\$54,600	\$4,550.00	\$56,600	\$4,716.67	\$58,000	\$4,833.33
Assistant Specialist (3320)	I	2	\$59,200	\$4,933.33	\$61,300	\$5,108.33	\$61,900	\$5,158.33
	II	2	\$62,500	\$5,208.33	\$64,700	\$5,391.67	\$65,300	\$5,441.67
	III	2	\$65,900	\$5,491.67	\$68,300	\$5,691.67	\$70,100	\$5,841.67
Associate Specialist (3310)	I	2	\$70,500	\$5,875.00	\$73,000	\$6,083.33	\$74,900	\$6,241.67
	II	2	\$73,900	\$6,158.33	\$76,500	\$6,375.00	\$78,500	\$6,541.67
	III	2	\$77,900	\$6,491.67	\$80,700	\$6,725.00	\$82,900	\$6,908.33
	IV	2	\$82,100	\$6,841.67	\$85,000	\$7,083.33	\$87,300	\$7,275.00
Specialist (3300)	I	3	\$86,900	\$7,241.67	\$90,000	\$7,500.00	\$92,500	\$7,708.33
	II	3	\$95,500	\$7,958.33	\$98,900	\$8,241.67	\$101,600	\$8,466.67
	III	3	\$106,500	\$8,875.00	\$110,300	\$9,191.67	\$113,300	\$9,441.67
	IV	3	\$119,800	\$9,983.33	\$124,000	\$10,333.33	\$127,400	\$10,616.67
	V	3	\$132,700	\$11,058.33	\$137,400	\$11,450.00	\$141,200	\$11,766.67
	VI	3	\$143,800	\$11,983.33	\$148,900	\$12,408.33	\$150,300	\$12,525.00
	VII	3	\$154,200	\$12,850.00	\$159,600	\$13,300.00	\$161,100	\$13,425.00
	VIII	3	\$165,100	\$13,758.33	\$170,900	\$14,241.67	\$172,600	\$14,383.33
	IX	4	\$181,800	\$15,150.00	\$188,200	\$15,683.33	\$190,000	\$15,833.33

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>7/9/2023 Hourly</u>	<u>7/7/2024 Hourly</u>	<u>UCSB Minimum Hourly</u>
Junior Specialist (3329)	I	1	\$24.57	\$25.44	\$26.06
	II	1	\$26.15	\$27.11	\$27.78
Assistant Specialist (3321)	I	2	\$28.36	\$29.36	\$29.65
	II	2	\$29.94	\$30.99	\$31.28
	III	2	\$31.57	\$32.72	\$33.58
Associate Specialist (3311)	I	2	\$33.77	\$34.97	\$35.88
	II	2	\$35.40	\$36.64	\$37.60
	III	2	\$37.31	\$38.65	\$39.70
	IV	2	\$39.32	\$40.71	\$41.81
Specialist (3301)	I	3	\$41.62	\$43.11	\$44.31
	II	3	\$45.74	\$47.37	\$48.66
	III	3	\$51.01	\$52.83	\$54.27
	IV	3	\$57.38	\$59.39	\$61.02
	V	3	\$63.56	\$65.81	\$67.63
	VI	3	\$68.87	\$71.32	\$71.99
	VII	3	\$73.86	\$76.44	\$77.16
	VIII	3	\$79.08	\$81.85	\$82.66
	IX	4	\$87.07	\$90.14	\$91.00

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

<u>Rank</u>	<u>Step</u>	<u>Years at Step</u>	<u>7/1/2023 Annual</u>	<u>7/1/2023 Monthly</u>	<u>7/1/2024 Annual</u>	<u>7/1/2024 Monthly</u>	<u>UCSB Minimum Annual</u>	<u>UCSB Minimum Monthly</u>
Junior Specialist (3333, Visiting-3335, WOS-3328)	I	1	\$51,300	\$4,275.00	\$53,500	\$4,458.33	\$54,800	\$4,566.67
	II	1	\$54,700	\$4,558.33	\$57,000	\$4,750.00	\$58,400	\$4,866.67
Assistant Specialist (3323, Visiting-3325, WOS-3322)	I	2	\$59,800	\$4,983.33	\$62,400	\$5,200.00	\$63,000	\$5,250.00
	II	2	\$63,000	\$5,250.00	\$65,700	\$5,475.00	\$66,300	\$5,525.00
	III	2	\$66,200	\$5,516.67	\$69,000	\$5,750.00	\$70,800	\$5,900.00
Associate Specialist (3313, Visiting-3315, WOS-3312)	I	2	\$71,100	\$5,925.00	\$74,100	\$6,175.00	\$76,000	\$6,333.33
	II	2	\$74,700	\$6,225.00	\$77,900	\$6,491.67	\$79,900	\$6,658.33
	III	2	\$78,700	\$6,558.33	\$82,100	\$6,841.67	\$84,300	\$7,025.00
	IV	2	\$83,000	\$6,916.67	\$86,500	\$7,208.33	\$88,800	\$7,400.00
Specialist (3303, Visiting-3305 WOS-3302)	I	3	\$87,800	\$7,316.67	\$91,500	\$7,625.00	\$94,000	\$7,833.33
	II	3	\$96,500	\$8,041.67	\$100,600	\$8,383.33	\$103,300	\$8,608.33
	III	3	\$107,700	\$8,975.00	\$112,300	\$9,358.33	\$115,300	\$9,608.33
	IV	3	\$121,100	\$10,091.67	\$126,200	\$10,516.67	\$129,600	\$10,800.00
	V	3	\$134,100	\$11,175.00	\$139,800	\$11,650.00	\$143,600	\$11,966.67
	VI	3	\$145,300	\$12,108.33	\$151,500	\$12,625.00	\$152,900	\$12,741.67
	VII	3	\$155,900	\$12,991.67	\$162,500	\$13,541.67	\$164,000	\$13,666.67
	VIII	3	\$166,900	\$13,908.33	\$174,000	\$14,500.00	\$175,700	\$14,641.67
	IX	4	\$183,700	\$15,308.33	\$191,500	\$15,958.33	\$193,300	\$16,108.33

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 Advisor:

Mavel Marina

j1scholar@sa.ucsb.edu

Employment-Based Visas:

Erik Williams, Director OISS

longtermvisa@sa.ucsb.edu

Business & Financial Services

Lan Nguyen

x 3259

lan.nguyen@bfs.ucsb.edu

(Tax questions)

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

- **RB III-1 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 1st advancement review **must** be for a min. of **one-year** terms. **Reappointments** *(represented)* following the 1st advancement review **must** be for a min. of the **normative** time at rank/step. **No exceptions.** Longer appointment term **after** 1st advancement.
- *Non-represented (i.e. Supervisors)* – appts/reappts normally made for 1 year at a time, but may be longer. Provides direct supervision of 2 or more career/contract employees.

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

- See [Resources for Department Analysts; Research Appointments](#)

Resources for Department Analysts **Research Appointments**

POLICIES

- [Red Binder III-1 Temporary Research Appointments General Information](#) ⓘ
- [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.
- [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: Researcher, Project Scientist, and Specialists.
 - [Academic Researcher Tentative Agreement, effective 12-9-2022](#) ⓘ : 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

- [Research Titles Appointments and Advancements](#) ⓘ : AP's latest yearly training on Research Appointments.
- [Red Binder III-7 Documents to be Submitted for Research Appointments](#) ⓘ
- [Red Binder III-9 Documents to be Submitted for Research Reviews](#) ⓘ
- [Academic Researcher Merit and Promotion Review Notification](#) ⓘ
- [Case Deferral Process for Academic Researchers](#) ⓘ
- [Courtesy and Without Salary Appointments](#) ⓘ : Courtesy and WOS Academic Titles matrix.
- [Academic Specialist/Staff Research Associate Comparison](#) ⓘ : A chart that compares the academic Specialist title with the staff SRA title. (Revised 6/2021)
- [Represented Academic Researcher Layoff or Involuntary Reduction In Time Proposal Form](#) ⓘ

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

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

III-7
DOCUMENTS TO BE SUBMITTED BY THE CHAIR
RESEARCH APPOINTMENTS
(Revised 2/24)

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?
 - ☐ 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, **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?
 - ☐ If items cannot be submitted electronically, have arrangements been made with the Academic Personnel Office?



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, I.)

- 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 – see [RB III-12](#), VI. **External Evaluation** section
 - Project Scientist, required at Associate, Full appointment – see [RB III-14](#), VI. **External Evaluation** section
 - Specialist, **not required**, see [RB III-16](#), VI. **External Evaluation** section
- **Sample letters for Solicitation** ([RB I-49](#) & [RB 1-50](#))
- Confidentiality requirements
 - Statement
 - Letters coded & identified in departmental letter (coded list: i.e. A, B, C)
- Materials to External Reviewers ([RB I-51](#))

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, but should include publications to date
- 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...

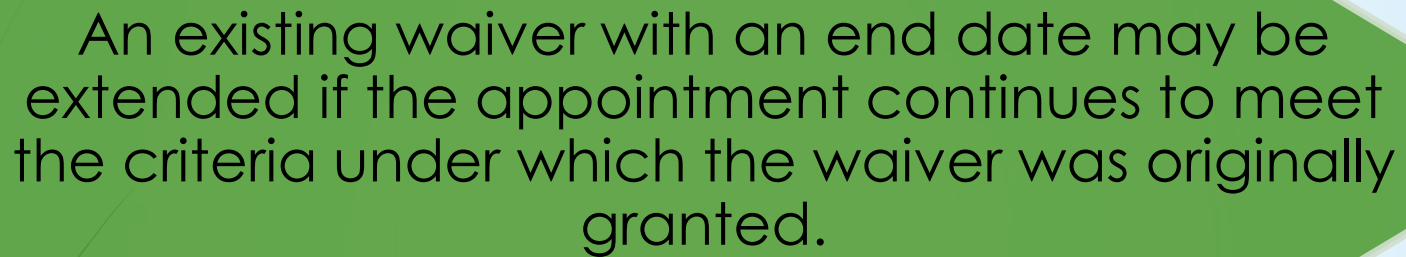
- **Reappointment?** An **extension** of appointment (i.e. renewal of funding).
- **Modification?** A request to “modify” an existing appointment (i.e. **a % time change**).
- **AP UCPATH team** will update UCPATH – upon receipt of **approval** notification.

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? Must plan ahead.
- Represented or Non-Rep – consideration prior to forwarding the request. **Ask AP if questions.**
- Monitor **Ending Appointments** under **Reappt/Mod** & (general) **Ending Appts Report** (90 days out) under **Reporting**; 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, 2024 via AP Folio’s “**Eligibility Listing**” link.

Eligibility for Advancement cont.

- Off-scale salaries ([RB III-8 Types of Review](#))
 - 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 – see **RB III-8, I. Accelerated actions**
 - Justification
 - No set measures
 - Kinds of acceleration
 - In years
 - In salary
 - Mixed
- “No Change” Decisions

Promotion & Overlapping Steps

- Promotion to Associate/Full level
(RB III-8, Sections III. & IV.)
 - Professional Research series
 - 8 year limit as Assistant
 - Extensions of the 8-yr. limit, “Time off the clock” (up to two years, max.); RB I-4, II.
 - Project Scientist & Specialist
- Merit to Overlapping Step
(RB III-8, 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 3** to Academic Personnel
- Academic Departments—**March 3** 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 8th 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)

TEMPLATE FOR ACADEMIC RESEARCHER MERIT INCREASE/PROMOTION REVIEW NOTIFICATION
SERIES SPECIFIC ARTICLES (SPECIALIST, PROJECT SCIENTIST, PROFESSIONAL RESEARCHER)

MUST BE GIVEN TO ACADEMIC RESEARCHER AT LEAST SIX (6) WEEKS BEFORE MATERIALS ARE DUE

«Date»

Dear «Employee name»,

I am very pleased to inform you of your eligibility for a «merit or promotion» review during academic year «Year», with an effective date of July 1, ____.

Please submit the following materials for your review:

«List of materials the Academic Researcher is responsible for providing».

The materials should be submitted to «Name» via «Include method of submission, such as email, upload, or hard copy».

In order to meet various campus deadlines, review materials must be submitted in a timely manner to «Contact Name» by «Date».

For additional information, please see the applicable campus guidelines and collective bargaining agreement articles:

- Red Binder Section III
- [For represented academic researchers only add]: Collective Bargaining Agreement, Articles 21, 22, and 26 <https://ucnet.universityofcalifornia.edu/labor/bargaining-units/ra/contract.html>

If you have questions about the review process, please do not hesitate to contact «Department Contact» at «Email address» and «phone number».

Sincerely,


«Local contact»



Contents of a case - Advancement

(RB III-9)

- All online cases; via “**Merits & Promotions**” in AP Folio
- Departmental Letter
- **New Online** Bio-bib required (as of 7/1/25 case cycle)
- 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. overlapping steps)
- Identify external evaluators by **code only**

Bio-Bibliography and Publications

- Campus cut-off dates
 - Research series – **December 31**
 - Project Scientist/Specialist – **January 31**
- **NEW Online Bio-Bib** must follow format in [Red Binder I-27](#)
- Research and creative activity – entire career
 - Cumulative (others since last review)
 - Oldest = lowest number
 - Changes since last review
 - **Final bio-bibs are generated by the online bio-bib system** and are tailored to the specific series
- **All** copies of publications (including in-press & submitted, as applicable) 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.



New Online Bio-bib – Academic Researchers – Handout 2

- Recent campus trainings – Slides posted under the [Resources for Dept Analysts; Research Appointments \(Other Resources\)](#)
- Two options for **Part I. Research & Creative Activity** *cumulative* record (specifically)...
 - Option 1: can enter **all items** under Part I. Research & Creative Activity (Online Bio-bib) **or**
 - Option 2: **Current review period items required** to be entered under Part I. (Online Bio-bib) & **past cumulative record** (of Part I.) can be uploaded as *separate PDF inside* the advancement case.
- Reach out to AP if any questions.

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-49](#) to [RB I-50](#))
- 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. Visitors must be self-supporting.
- Chair/Director approval (AP does post-audit)
- **NEW** Patent – as of 7/1/24. Under our [Forms](#) page.

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)
- [CWR FAQs](#)

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		

Courtesy and Without Salary Academic Titles matrix

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. Self-funded PI/Co-PI.
- 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. **Consult with AP first.**

End dates monitoring – expected job end dates in UCPATH

- Departments should be monitoring **Ending Appointments** reports frequently, 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.
 - **Ending Appointments** via AP Folio **Reporting** – 90 days out.

Ending Appointments

- » [Researchers](#)
- » [Academic Coordinators](#)
- » [Specialists](#)
- » [Project Scientists](#)



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 – October 24 @ 10:00 – 11:00 a.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.