

RED BINDER

**UCSB Campus Policies and Procedures
For Academic Personnel**

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SECTION I: LADDER RANK FACULTY AND OTHER ACADEMIC SENATE TITLES

I-2
DEADLINE DATES
(Revised 4/15)

The following deadlines have been established for submission of ladder faculty advancement cases from the Department to the College:

Dean's Authority cases: 2nd Monday in November
Assistant Professor Deferral Requests:

Expanded Review cases: 2nd Monday in December
(See Red Binder I-33 for definition of Expanded Review)

Completed cases must be submitted to the office of the appropriate Dean by the appropriate deadline 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. Recommendations must be based on materials available before September 15 except for extramural letters delayed by circumstances beyond the department's control. Departments may institute earlier cut-off dates. Both the Dean and the Associate Vice Chancellor for Academic Personnel must be notified if the department plans to change its existing cut-off date. It may also be appropriate in some promotion to tenure cases to add materials available after September 15.

In situations where a reviewing agency requests additional information in the case, a deadline for submission of those materials will be included in the request. If the materials are not received by the stated deadline the case will proceed through the review process without the materials. Failure to submit requested materials may have an effect on the outcome of the review. Failure to submit the requested materials may not be used as the basis for a reconsideration request.

I-3
PRIORITY DESIGNATIONS
(Revised 4/15)

Personnel cases shall be reviewed in priority order based on the date received and the following designations:

- Priority 0: Retentions
- Priority 1: Appointments
- Priority 2: Tenure Review
- Priority 3: Career Review (Promotion to Professor, merit to Professor VI or Above Scale)
- Priority 4: Accelerations, Appraisals and all other Expanded Review actions
- Priority 5: Dean's Authority merits and deferrals

I-4
ELIGIBILITY, DEFERRAL AND MANDATORY REVIEW
(Revised 5/17)

I. Service Credit

Six months or more of service in any one fiscal year normally count as one full year of service for merit eligibility. Less than six months of service in any one fiscal year does not count. The normal period of service prescribed for each salary level does not preclude more rapid advance in cases of exceptional merit nor does it preclude less rapid advance. Service as an Assistant Professor (including time as an Acting or Visiting Assistant Professor) is limited to 8 years. Service at the Associate Professor and Professor levels is unlimited.

II. Extensions of the 8- year limit for Assistant Professors, Lecturers with Potential Security of Employment, or Assistant Researchers

Under specific circumstances, an Assistant Professor, Lecturer with Potential Security of Employment, or Assistant Researcher may request an extension of the 8-year limit. An individual may have no more than two extensions during the probationary period and requests may not be made after the tenure/SOE/Associate Researcher review has begun. Request for extension are to be addressed to the Associate Vice Chancellor for Academic Personnel, via the appropriate Chair, Director and Dean or other control point. Extensions of the clock may be requested for the following reasons:

- a. **Childbearing or Childrearing:** A request may be made to allow the employee to care for any child who is, or becomes part of the employee's family. The employee must be responsible for 50 percent or more of the care of the child. The birth or placement of more than one child at a time constitutes a single event of birth or placement.
- b. **Serious Health Condition:** A request may be made when the employee's ability to pursue his or her duties is significantly disrupted by a serious health condition or disability, by the need to care for a close family member who is seriously ill, or the death of a close family member. Supporting documentation must be provided with the request for extension.
- c. **Significant Circumstance or Event:** A request may be made when significant circumstances or events beyond the individual's control disrupt the individual's ability to pursue his or her duties. Examples include, the effects of a natural disaster or extraordinary delays in the provision of research resources committed to the individual which are necessary for his or her research activities. Supporting documentation must be provided with the request for extension.

When an extension of the tenure clock has been approved the individual should not be expected to have produced more or performed at a higher level than an individual who has not extended the tenure clock. The file is to be evaluated without prejudice as if the work were done in the normal period of service. Extension of the tenure clock does not delay eligibility for appraisal, merit, or promotion. However, the extension may be used as the basis of a request for deferral of any of these actions for a period equivalent to the extension.

III. Regular Ranks, Steps, Normal Periods of Service

The Assistant Professor Rank contains steps I-VI, although steps I and VI are not used at UCSB. The Associate Professor Rank contains steps I-V, although step V is not used at UCSB. The normal time of service at each step within the Assistant and Associate rank is 2 years, except for service at the special steps of Assistant Professor V and Associate Professor IV (Red Binder I-37). The Professor rank contains steps I- IX as well as Above Scale. 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 or Above Scale. Eligibility for normal advancement occurs after the normal time of service at each step. If not advanced in rank or step at that time, the candidate will continue to be eligible for the same advancement in rank or step each year until the advancement in rank or step occurs. Further advancement within step will only be allowed when the normative number of years at step have passed. Normal periods of service in other

academic series are described in the Red Binder section covering the series.

IV. Advancement Effective Dates

The Office of Academic Personnel annually publishes promotion and merit eligibility lists for each department.

All merits and promotions will be effective July 1. It is possible, based on availability of funding, that payment for merits and promotions may be delayed. If this occurs, payment will be made retroactively at the time funds become available.

V. Mandatory Five-Year Reviews

Senate faculty and appointees to the Research, Project Scientist, and Specialist series must undergo a performance review at least once every five years, including an evaluation of the individual's record in all review areas. This review may not be deferred. Most appointees in these series are reviewed for merit advance every two to four years, depending on rank and step. Appointees eligible for merit advancement or promotion may request deferral of review, so long as the time period since their last review is not more than four years. Non-submission of materials will not constitute automatic deferral. If an individual does not turn in materials by the departmental due date, the department will conduct the mandatory review based on the materials available in the department as of the due date.

Faculty holding 100% administrative positions in the SMG program or covered by APM 240 or APM 246 are exempt from mandatory five-year reviews since they face a separate review policy.

VI. Deferral of Review

Deferral of non-mandatory reviews will be automatic if a tenured Senate faculty member or appointee in the Research, Project Scientist, or Specialist series does not submit materials by the departmental due date, and no case is forwarded by the department by the established submission deadline.

Deferral requests made by Assistant Professors or Lecturer with Potential Security of Employment must be accompanied by a letter of recommendation from the Chairperson that explains the reasons for the deferral and describes the progress that will be expected prior to the next review. Review for promotion to tenure or Security of Employment will normally take place by the end of the 6th year of service but may be deferred until the 7th year. The faculty member's deferral request along with the Chairperson's letter of recommendation must be submitted via AP Folio.

Deferral beyond the 7th year will not be considered. The Formal Appraisal review may not be deferred, except in cases of extension of the tenure clock.

I-6
CAREER EQUITY REVIEW
(Revised 4/15)

A Career Equity Review (CER) may be initiated by or on behalf of tenured ladder faculty, and Lecturers SOE and Senior Lecturers SOE who are members of the Academic Senate. The CER is designed to examine cases in which normal personnel actions from the initial hiring onward may have resulted in an inappropriate rank and/or step; i.e., a faculty member's rank and/or step is not commensurate with the candidate's merit as assessed in the areas of research, teaching, professional activity, and service and in terms of the standards appropriate to the candidate's field, specialization, and cohort. A CER provides the opportunity to pay special attention to equity in relation to the standards in the discipline and to determine if current placement on the academic ladder is consistent with the application of those standards as they relate to rank and step. Recommendations and decisions will be based on the criteria used for normal promotion and merit reviews; but CERs will consider the entire career record of the individual, as well as recent activity.

A CER is not an alternative to the reconsideration procedures that apply to particular reviews (Red Binder I-10) nor is it an alternative to cases that should be brought before the Committee on Privilege and Tenure. A CER is not intended to address salary compression or other salary issues related to market, therefore, requests for adjustment of off-scale supplement will not be considered. Final decisions of CERs will not be subject to reconsideration or appeal. Reports generated during the CER process will be subject to the same policies and procedures as reports generated during the regular review process. A CER is considered an Expanded Review case and will be subject to review by CAP. CERs may be requested or conducted no more frequently than once every six years. Only faculty who have held an eligible title (see above) for at least four years can be considered for a CER.

Procedure:

A CER may be initiated by the candidate through his or her department in parallel with an advancement case submitted for the faculty member through the regular advancement process, or through the appropriate Dean as a separate personnel action during the same review cycle as an advancement case. A CER may also be recommended to the Associate Vice Chancellor for Academic Personnel by any reviewing agency in the course of a personnel review. The reviewing agency will inform the Associate Vice Chancellor that it believes a CER should be considered and the Associate Vice Chancellor will report this recommendation to the faculty member. The candidate will then decide whether to initiate a CER and, if so, whether to initiate it in the department or with the Dean. Once initiated, it will follow one of the paths outlined below.

Possible justification for a CER may include, but is not limited to, the following: 1) the rank/step was inappropriately low at the time of initial hiring and in consequence the faculty member is currently placed too low on the ladder; 2) the outcome of one or more prior personnel actions has had a negative effect on subsequent personnel reviews, and in consequence the faculty member is currently placed too low on the ladder; 3) specific works and contributions have been overlooked or undervalued by the department or other reviewing agencies and in consequence the faculty member is currently placed too low on the ladder; 4) the faculty member's cumulative record warrants placement higher on the academic ladder.

A CER may be initiated in the following ways:

1. During consideration of a normal advancement, either the candidate or the department may initiate a CER by including a letter with the review file that identifies the area of the record that the candidate or department believes was not previously properly evaluated and/or the area of the record that indicates the candidate was not hired at the rank/step commensurate with the accomplishments at the time of hire. The department must consider, analyze, vote, and make a recommendation on both the CER and the proposed merit/promotion action. The candidate's letter will be included in the merit/promotion case that is sent forward by the department.
2. At the time a merit or promotion case is being prepared in the department, a CER may be requested by an individual faculty member through the Dean. The request in such cases will be treated as confidential. The Dean will inform the Associate Vice Chancellor for Academic Personnel of the request for review. The Dean will then form a confidential ad hoc committee to oversee the assembly of materials for a career review. The

Dean will also assure that all appropriate procedures concerning safeguards and access occur as outlined in the Red Binder. The committee will include members of the School or Division, and at the Dean's discretion may contain members of the Department and/or representatives from outside the School or from other UC campuses. The committee will provide an analysis equivalent in depth to that of a Department letter. The ad hoc committee's dossier, and their letter analyzing the case, will be forwarded to the department for consideration, analysis, and vote. The CER case will then be forwarded along with the merit or promotion case to the Dean and continue through the normal review process for an Expanded Review case.

3. During the course of a normal personnel review, a Dean, CAP or the Associate Vice Chancellor for Academic personnel may recommend a CER. A letter will be sent from the Associate Vice Chancellor to the faculty member informing the faculty member that a reviewing agency has recommended a CER as part of the advancement review. If the faculty member wishes to be considered for a CER, the review may be initiated via either of the two procedures listed above. Reviewing agencies are encouraged to review the files of every academic appointee for appropriate inclusion in the CER program coincident with the normal review cycle. Input from the department chair may be requested via the Associate Vice Chancellor for Academic Personnel if warranted.

Any CER that is initiated by a reviewing agency and that requires review for promotion, merit to Professor VI or to Professor Above Scale must contain extramural letters. In the event that the original case does not contain extramural letters, the agency preparing the CER will be responsible for solicitation of such letters.

Because the CER is processed in conjunction with a merit/promotion case, two decisions will be made at the conclusion of the review; one based on the request for CER and one based on activity during the current review cycle. If the CER decision leads to an adjustment of rank and step, the candidate's salary at the new rank and step will include the same off-scale supplement as the salary prior to the review. A final decision for an adjustment in rank and/or step will occur effective the next July 1. No retroactive action will be approved.

I-8
OFF-SCALE SALARIES
(Revised 5/17)

I. UCSB Minimum Scale Rate

As a result of salary increase programs, all academic employees must be paid at least at the UCSB minimum scale rate. The associated off-scale supplement assures equity among academic employees and with other UC campuses. An employee paid at UCSB Minimum Scale rate will be advanced to the Minimum Scale rate at the next step upon on-time advancement.

II. Off-Scale Appointments

In instances of market pressures, efforts should be made to separate the issue of academically merited rank and step from the issue of the requisite salary needed to recruit a member of the faculty. For those academic areas in which market pressures are a consideration, departmental recommendations for appointment should reflect (a) a recommended rank and step appropriate to academic and professional achievement; and (b) an appropriate off-scale together with documentation of the market conditions that justify it.

III. Off-Scale Advancements

Off-scale supplements are retained in on-time advancements. When properly justified an advancement with an increase in off-scale salary may be approved in situations which cannot properly be accommodated through advancement in step only. For example:

- a) a record of performance that exceeds that expected for a one-step increase but does not meet the expectations for a one-step acceleration.
- b) the record of performance does not justify advancement to the next step at the normative time but does represent a level of performance that supports a within-step increase.
- c) recognition of special services or other achievements not normally recognized by on-schedule or accelerated step advancement;

Red Binder I-36 provides further guidance regarding accelerated actions. Red Binder I-44 provides further guidance regarding the use of off-scale salary in retention efforts.

For faculty already at Step IX, consideration for further merit increase within Step IX is reserved for cases of highly meritorious contributions to teaching, research, professional activities, and service, which fully meet the performance expectations for faculty at the top step of the professorial ladder and which demonstrate progress towards eventual advancement to Above Scale status.

A faculty member may receive no more than two within-step increases in the off-scale supplement. Additional off-scale increases may not be granted unless accompanied by advancement in rank or step.

I-10
RECONSIDERATION
(Revised 10/17)

After a decision has been announced in a personnel case, the departmental Chairperson may request a reconsideration of the decision. This course of action may be pursued only when there is new documentation relating to accomplishments already in place prior to the deadline for submission of materials (Red Binder I-2), or when the department can make a compelling argument that reviewing agencies neglected important features of the case. Evidence for the latter ground for reconsideration is most often provided by the candidate, based on the copy of non-confidential documents and the redacted copy of the confidential academic review records contained in the personnel review file received pursuant to APM 220-80-i. Chairpersons should avoid "routine" or "automatic" resubmission of requests for reconsideration. On the other hand, when a compelling argument for reversal of the original decision can be documented, the Chairperson should carefully present the evidence for reconsideration. Reconsideration of a case must be requested and the review completed, prior to the submission of any subsequent personnel case.

Departmental practices are variable on the degree of consultation with the voting faculty necessary in a case for reconsideration. While a new vote on a case for reconsideration is desirable, it is not required. However, the voting faculty must be consulted, and the form of this consultation, as well as the comments expressed by voting faculty, are to be reported in the Chairperson's letter. The candidate has the same rights of access as in the original case. The Chair should ensure that any additional letter writers or faculty members expressing comments are not identified in the departmental letter except by means of a coded list appended to the departmental letter. The reconsideration case will undergo the same review process as the original case, with the provision that no ad hoc committee review will take place during the reconsideration process.

Note: For guidelines concerning reconsideration of a terminal year appointment see Red Binder I-39.

ACTING ASSISTANT PROFESSOR APPOINTMENTS

(Revised 04/08)

I. Procedure of Automatic Regularization

At the time of initial appointment the department may request that a candidate who has not yet completed the Ph.D. dissertation be appointed as Acting Assistant Professor, with automatic regularization to Assistant Professor, at the same salary rate, upon receipt of the Ph.D. by a specified expected date.

If automatic regularization is not requested at the time of the initial appointment, a completely new review is necessary when the title is changed to Assistant Professor.

When automatic regularization of an Acting Assistant Professor has been approved in conjunction with the initial appointment, the Department Chair must provide the Office of Academic Personnel with a letter from the graduate dean of the institution conferring the Ph.D. which indicates the date that the appointee completed all formal degree requirements. If this date precedes the beginning of the service period for the next quarter the change in title will be effective at the beginning of that quarter.

II. Procedure for Reappointment

APM 235-17 states, "Each appointment as Acting Instructor or Acting Assistant Professor (or equivalents) shall be for a specified term, not to exceed one year. The total period of service with these titles is limited to two years." If the Ph.D. is not received by Winter Quarter in the initial year, and a second year in that title is sought, the department must submit by March 1 a request for reappointment which includes an explanation of the candidate's failure to complete the dissertation and an assessment of the likelihood of completion.

The request is reviewed by the Dean with the Associate Vice Chancellor taking authority for the final decision. The normal expectation is that the Ph.D. shall be completed, and regularization takes place, during the first year of service. Reappointment as an Acting Assistant Professor is not automatic.

If the candidate receives reappointment but does not finish the Ph.D. in the second year, the appointment is self-terminating. If the department wishes to rehire the candidate at a later date, it will be necessary to request retention of the FTE and to initiate an open search.

I-12
POLICY ON TEACHING LOADS
(Revised 03/06)

The campus has a small number of tenured faculty who are inactive in research, but are competent teachers. Department Chairs may be asked by a Dean to assign teaching responsibilities significantly greater than the departmental average to particular individuals in this category. Faculty members not involved in research should carry higher teaching loads, as long as this practice does not result in students having less contact with scholars active in research. This practice should not be used to reduce average loads for researchers; research cannot substitute for normal teaching responsibilities.

There is an opportunity for steady salary progression for an excellent teacher inactive in research through a transfer to the Lecturer with Security of Employment series. When it is appropriate, the Deans, the CAP, the Associate Vice Chancellor, and the Executive Vice Chancellor will encourage transfer to this series. Where it is not appropriate, the only alternative presently available is to remain on the professorial ladder with a heavier teaching assignment. In implementing this policy, consideration can be given to unusual levels of University service or for professional activities directly beneficial to the University.

Additional teaching assignments for a research-inactive tenured faculty member are best initiated through informal agreement between the faculty member and the Department Chair. They can also be an outcome of the normal academic review process, after recommendation by the appropriate Dean, the CAP, and approval by the Executive Vice Chancellor.

In implementing this policy it should be kept in mind that it is the Chair's responsibility to assign teaching responsibilities and to balance load equitably, taking into account supervision of graduate students and service to the department. This policy statement supports the Chair in encouraging adjustments to teaching loads for purposes of equity.

The proposed changes appropriate for faculty inactive in research should be discussed in advance with the Dean, as should any assignment involving a quarter or more without classroom teaching. Finally, as discussed above, adjustment of a teaching load may be initiated in the course of a regular personnel review, and imposed by the Executive Vice Chancellor after reviewing recommendations from the Chair, Dean, and the CAP.

The above practices are not intended for those persons whose research goes slowly because of the difficulties of the field, or to those who are working productively but in an unfashionable area. It applies only to those faculty who are no longer devoting a reasonable portion of their energies to productive research, or to those whose accomplishments over an extended period of time are so minimal that it would appear to be a mistake for them to devote their energies to research.

I-13
RETENTION OF ACADEMIC FTE
(Revised 01/06)

All vacancies in faculty FTE provisions resulting from death, resignation, retirement, phased retirement, transfer, or change in program, will be returned to the College's or School's Provision for Unallocated Academic Staff pending review of workload and program requirements. Please note that there are no exceptions to this procedure. In the case of a vacant FTE due to a terminal appointment of an Assistant Professor, the FTE will normally be retained by the department.

A request to retain FTE should be made during the annual call for departmental FTE plans, normally in the fall quarter. The department should base the justification for the retention of the provision on the following concerns:

- a. Specific program needs related to the provision under review, and a statement as to how these needs fit within the programmatic structure of the department as a whole.
- b. Review of departmental workload over the previous five years. Each entity may request the FTE retention data available from the Budget and Planning office. Workload considerations specific to the position under review, such as graduate student supervision and undergraduate advising, should also be noted.
- c. A statement specifying the appropriate level at which the position should be replaced. (Note that vacated ladder faculty positions normally revert to Assistant Professor II. Recommendations for replacement at any higher level require specific justification.)
- d. A statement of anticipated impact on the department should the request for retention of the position be denied.
- e. A statement of anticipated costs associated with the desired appointment -- start-up costs, space and space modifications, removal costs, etc.

In consultation with the Counsel on Planning and Budget, and the Deans of the Schools and Colleges, retention requests will be reviewed as part of the annual budget review and the annual allocation of faculty FTE provisions.

SENATE FACULTY APPOINTMENTS

(Revised 10/17)

Senate faculty appointments may be made in academic departments or in programs. At UCSB, the term "program" is used not only in reference to those sequences of courses leading to degrees but also to those academic/administrative units that have not yet attained departmental status but "from which academic appointments and promotions are recommended to administrative officers" (Bylaw 55 of the Academic Senate). As such, the provisions of Bylaw 55 shall apply: <http://senate.universityofcalifornia.edu/bylaws-regulations/bylaws/blpart1.html>

A faculty member's rights are vested in any department or program in which he/she holds a salaried appointment carrying Senate membership. Non-salaried affiliations in departments or programs do not carry with them voting privileges or other rights not explicitly made part of such appointment agreements. A brief description of types of appointments and rights follows.

A faculty member accepting transfer from one department or program to another relinquishes thereby his/her rights in the original department or program.

I. Types of Appointments

1. Salaried appointments in a single department or program.
 - a. The appointment is in one department or program
 - b. The faculty member's voting rights are vested in the department or program.
2. Joint salaried appointments in departments or programs.
 - a. Each appointment carries with it a percent of full time and salary in each department or program.
 - b. The faculty member maintains voting rights in each department or program.
 - c. When a faculty member is being considered for a merit or promotion, each department or program must provide a recommendation.

A request for joint appointment, either at the time of initial appointment or related to a temporary or permanent transfer of FTE at a later date, should be discussed and voted upon by the faculty in both departments/programs. The request from both Chairs/Directors, should be sent via the Dean, to the Associate Vice Chancellor for Academic Personnel indicating the vote of the faculty, effective begin date, end date (if any), and percentage of time in each department. Each department is responsible for assuring that a partial FTE has been approved for use.

3. Without salary appointments.
Faculty who take on full time administrative positions or who are released to specific programs (KITP, Station Q) retain a without salary faculty appointment in their home department. Full voting rights are maintained in the department.

4. Affiliated status

A Senate faculty member who participates in instructional activities in a department or program in which he/she does not hold a salaried appointment may receive affiliated status in the host department or program.

- a. The faculty member has no voting rights in the host department or program.
- b. The host department or program is not required to vote on the affiliated faculty member's personnel case, but may be asked to provide a statement of departmental activities carried out under the affiliated status.
- c. An affiliated appointment with an indefinite end date may be terminated on the recommendation of a majority of the voting members of the department or program.

A request for affiliated appointment should be approved by the voting members of the host

department/program with the endorsement of the home department. The request from both Chairs should indicate an effective begin date and end date (if any) and should be submitted to the Associate Vice Chancellor for Academic Personnel, via the Dean.

Senate faculty from another UC campus may be given an affiliated appointment at UCSB. A request from the host department indicating the begin and end date of the appointment as well as the reason for the affiliation should be submitted to the Associate Vice Chancellor for Academic Personnel, via the Dean.

Affiliated appointments are not entered into the payroll system.

5. Other "Professor" titles

For appointments of Adjunct or Visiting Professors refer to Red Binder V-17 and II-28. For Emeriti appointments refer to Red Binder I-70.

II. Appointment Criteria

All new appointments should be consistent with affirmative action guidelines (see Red Binder Section VII).

Non-tenured appointments are made in the expectation that the appointee will meet standards for a tenure appointment by the time that a promotion decision is due. Recommendations for non-tenure level faculty appointments must provide: a) clear evidence of potential excellence in both teaching and research; and b) clear evidence that the proposed appointment relates in a significant manner to established or projected programmatic needs of a department or unit.

Recommendations for tenure-level faculty appointments must provide: a) clear evidence of nationally recognized excellence in published research (or other creative work) as well as evidence of excellence in teaching; b) clear evidence that the proposed appointment is essential to an academic program of high quality and stature; and c) clear evidence of continuing scholarly productivity. For the level of excellence required for specific ranks and steps, consult APM 210-1 d. These criteria are also summarized in Red Binder I-40 through I-43. The difficulties of recruiting at this level of excellence require a considerable investment of time and energy in the recruitment process.

Departments should be prepared to engage in multiple-year searches in order to make the best possible appointments. The open provision for the recruitment will normally be available to the department for the duration of the search process, as long as funding continues to be available.

A recommendation for appointment must fully conform to the highest level of academic excellence and programmatic need. If, after rigorous review, significant and credible doubts exist about a candidate's academic qualifications, the appointment will not be approved.

Furthermore, it is strongly recommended that the Chair discuss the proposed rank, step, salary level, and start-up expenses of a new appointment with the Dean prior to submitting a recommendation for the appointment.

III. Letter to Prospective Senate Faculty Appointees

After discussion with the Dean as described in the preceding paragraph, the department may communicate to the candidate its intention to recommend an appointment.

The recommended wording for department letters to prospective ladder appointees is as follows:

I am pleased to recommend you for an appointment as _____ in the Department of _____ at the University of California, Santa Barbara. On behalf of my colleagues, and with the enthusiastic support of Dean _____, I would like to express our excitement at the prospect of your joining our faculty. According to the procedures of the University of California, formal review of the recommendation is necessary prior to the final approval of your appointment by the Chancellor. The department is recommending that you be appointed as a/an _____ with a 9-month salary of \$_____ at 100% time effective, _____. The exact step and annual salary will be determined by the academic personnel appointment review process. Following the review process, formal offers of appointment are extended by the Executive Vice Chancellor or Chancellor.

IV. AAU Deadlines

Department should be mindful of the AAU recruitment deadline of April 30 and the Intercampus deadline of April 1. Please refer to APM 500-16.

V. Offer Deadlines

The department will be contacted by the College or Academic Personnel concerning the response deadline the department wishes to give to the candidate. It is the department's responsibility to notify the College and the Office of Academic Personnel when an offer has been either accepted or declined.

VI. Other Deadlines

Departments should also take into consideration other guidelines established by organizations specific to their field (i.e., Council of Colleges of Arts and Sciences).

When making an offer to a non-resident alien (i.e. not currently a US Citizen or a Permanent Resident), the department is strongly encouraged to consult with the Office of International Students and Scholars at the time the offer is being considered to be assured that labor certificate processing deadlines are met.

VII. Approval Authority

<u>Rank/Step</u>	<u>Authority</u>
Assistant Professor II, III, including Acting titles	Dean
Assistant Professor IV and V	Associate Vice Chancellor
Associate Professor, Professor	Chancellor
Affiliated Appointments (0% or without salary)	Associate Vice Chancellor
Lecturer PSOE	Dean
Lecturer SOE, Sr. Lecturer SOE	Chancellor

I-15
DOCUMENTS TO BE SUBMITTED BY THE CHAIR
APPOINTMENTS
(Revised 11/16)

All appointment cases are submitted via AP Folio.-

I. Departmental letter of recommendation

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

- Are the start date, rank and step all clearly stated?
- Is the recommended salary on the published salary scale?
- Is the off-scale supplement correct (if applicable), per off-scale general policies (RB I-8)?
- Is the actual vote included (e.g. 10(yes)-0(no)-0(abstentions)-3(not voting))? Is there an indication of how many were eligible to vote?
- Is the letter an accurate, extensive, and **analytical** representation of the case?
- If the case contains extramural letters, are letter writers identified **only** by coded list, with no identifying statements?
- Are the candidate's qualifications, educational background, and area(s) of specialization all discussed?
- Are all four areas of review covered: teaching, research, professional activity and university and public service?

II. Extramural letters of evaluation and list of evaluators (Red Binder I-49)

Extramural Letters

- For tenured appointments, are there at least 6 letters, including letters from UC familiar referees?
- For tenured appointments, 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?

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

- Was the proper wording used in the letter (RB I-49 to I-50)?
- Is a list of all informational items sent to referees (e.g. CV, Bio-Bib, publications sent, etc, per RB I-46-VI) included? Is a copy of each item included as either part of the case or a one-of-a-kind item?
- If different versions of 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

- 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, department or jointly selected?
- 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 Academic biography form.

- Is the CV up to date?
- Is the Academic biography form complete, signed and dated?

The following items are submitted as hard-copy:

IV. Copies of publications

- Has a representative sampling of publications been submitted?

V. **Start-up request information.** (see RB I-18)

Have all start-up issues been addressed?

Other considerations:

1. If a search was conducted, the search report must be approved in UC Recruit before the appointment is submitted. If no search was done, a waiver must have been approved.
2. The Procedural Safeguard Statement is not used for new appointments. However, candidates for appointment, once appointed, do have the right to inspect non-confidential documents in their files and to have a redacted copy of the confidential academic review records contained in the personnel review file received pursuant to APM 220-80-i.
3. When putting forward a case for a non-resident alien (i.e. not currently a US Citizen or a Permanent Resident), the department is strongly encouraged to consult with the Office of International Students and Scholars at the time the offer is being considered to be assured that labor certificate processing deadlines are met.

I-17
NEW SENATE FACULTY COMMITMENTS
(Revised 9/18)

A "start-up memo" addressing the equipment, space, housing and other start-up needs should be forwarded with the appointment packet. Note that one memo may be written to cover all of these issues. The Dean's New Senate Faculty Commitment Sheet will be prepared and endorsed by the Dean and then forwarded to the Associate Vice Chancellor.

At the time the Chancellor extends an offer of appointment to the candidate, a copy of the approved Commitment Sheet will be forwarded to the Dean indicating what recruitment commitments have been approved.

Please note: Revisions in recruitment commitments require approval by the Associate Vice Chancellor for Academic Personnel. Requests for revisions should be made in memo form to the appropriate Dean's office. For revisions being requested prior to the faculty member's start date, a revised commitment sheet will be completed by the College and forwarded to Academic Personnel for review. For revisions being requested after the faculty member's start date, the Dean may simply endorse the departmental request and forward it to Academic Personnel for review.

Housing

Mortgage Origination Program (MOP) loan commitments are made available for approximately a two-year period from the date of appointment. Extension beyond the expiration date may be possible on a year by year basis dependent of financial conditions at the time of the extension request. The actual amount of the loan (up to the maximum specified by Office of the President) will be based on the individual qualification of the faculty member.

An offer may be extended for placement on the wait list for purchase of University owned housing at West Campus Point and North Campus Point, based on College housing allocations. Ladder faculty and Lecturers in the Security of Employment series are eligible for placement on the primary housing wait list.

Rental of family student housing may be offered to Assistant Professors and Lecturers with Potential Security of Employment. Rentals are on an "as available" basis and new faculty should be urged to contact the housing office as soon as possible, once an offer has been extended, if they will be exercising this option.

Faculty Recruitment allowance

The Faculty Recruitment Allowance (also known as a Relocation Allowance or Housing Allowance), is made available to help newly recruited faculty meet the costs associated with purchasing a home, usually the down payment or closing costs. It may also be used towards the initial deposit necessary for a rental. The maximum allowable allocation is based on the rate on Table 40 of the published Salary Scale at the time of hire. Incoming faculty should be advised of the following to avoid unrealistic expectations about how and when they can get the money.

Faculty may not be issued their faculty recruitment allowance until they are employees and have been entered into the payroll system. Exceptions to this policy may not be made and the appointment start date may not be modified to accommodate payment. The faculty recruitment allowance is to be paid out as close as possible to the time it will be used (for example, upon entry into escrow), not at the time of initial employment. Faculty are encouraged to consult with their departments prior to entering escrow to assure that the payment may be issued during the escrow period. A Department or College may require proof of entry into escrow or other appropriate documentation prior to payment of the faculty recruitment allowance.

Faculty recruitment allowances are considered wages for Federal and State tax reporting and withholding and for Social Security taxes, workers' compensation, and unemployment insurance. Payment of the faculty recruitment allowance is made through UCPATH as one-time additional pay. Request for payment of the faculty recruitment allowance should be made at least 30 days in advance of the date the money is needed.

I-18
SAMPLE START-UP COSTS MEMO
(Revised 04/13)

TO: Associate Vice Chancellor
for Academic Personnel

VIA: Dean

FROM: _____, Chair
Department of _____

RE: Start-up package for _____

In connection with the appointment of _____, the Department of _____ requests the following:

- 1) Equipment
- 2) Space needs
- 3) Summer salary
- 4) Removal funds
- 5) Recruitment allowance
- 6) Housing needs
- 7) Research/travel funds/OISS Permanent Residency service fees

[These are possible categories for start-up costs, to be requested as needed]

I-20
REMOVAL EXPENSES
(Revised 04/18)

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

UC Policy (one-half of the total cost)

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

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

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

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

Full Removal

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

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

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

- transport of trailers, boats, other motorized recreational vehicles, or more than two motor vehicles
- transport of belongings related to commercial enterprises engaged in by the employee
- transport of building materials
- transport of animals other than household pets

- assembly and disassembly of unusual items such as, but not limited to, satellite dishes, storage sheds or pool tables.
- Canned, frozen or bulk foodstuff.
- Plants

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

DEPARTMENTAL CHECKLIST FOR ACADEMIC ADVANCEMENT

(Revised 4/15)

This checklist is for the use of the Department Chair, and should not be submitted with the case.

The Department Chair has the responsibility to see that each of the following steps is completed at the appropriate time during any personnel review. **A copy of this checklist must be given to the candidate at the beginning of his or her review.**

All documents included in the case must be relevant to the action under consideration (APM 200-30) and must be in compliance with University and Campus policy and practice relating to confidentiality.

I. Notifying The Candidate

Note: These steps should be taken as soon as possible after receipt of the eligibility list in which the candidate's name first appears.

- _____ 1) **Inform the candidate of his or her eligibility for advancement or appraisal.**
- _____ 2) **Inform the candidate of the UC criteria for advancement** as set forth in Section 210-1d and 220 of the APM. Include a full clarification of the concrete nature of materials relevant to those criteria, as commonly used in the candidate's department.
- _____ 3) **Inform the candidate of the UC review process** as set forth in APM 210-1d and 220. Include in your description both the role and character of higher reviewing agencies and the department's own customary modes of proceeding. Provide candidate with a copy of the Procedural Safeguard Statement.
- _____ 4) **Inform the candidate of UC policy regarding academic personnel records** as set forth in APM 160.
- _____ 5) **Inform the candidate of any other issues relevant to his/her personnel case.** Be sure to provide an opportunity for the candidate to ask questions regarding any aspect of the review procedures and of his/her case in particular.
- _____ 6) **Inform the candidate of the due date** for all pertinent information and material relevant to the criteria for advancement. Be sure to advise the candidate of the consequences of late submission of materials.
- _____ 7) **Inform the candidate if letters of evaluation are to be sought in his/her case and provide an opportunity for the candidate a) to suggest names of persons who might be solicited for such letters and b) to indicate in writing the names of persons who, for reasons set forth by the candidate (which may include personal reasons), might not be objective in their evaluation.** Also inform the candidate that the names of scholars writing outside letters who were originally suggested by the candidate, together with any requests not to select a potential evaluator, will be made part of the review file, and that a reasonable request for exclusion of outside evaluators will in no way jeopardize the candidate's case. The candidate should also understand that though such requests are made and honored regularly, there may be occasions when proper evaluation requires that they not be honored. Finally, the candidate should know that both the evaluator's academic stature and the extent, if any, of his/her association with the candidate (personal or professional) will affect how the evaluation is weighted.
- _____ 8) **In compiling the list of outside reviewers,** include a "reasonable number" (APM 220-80c) of the candidate's nominees, together with a "reasonable number" of letters from scholars who are not nominated by the candidate and who have not been closely associated with him/her either as colleagues, friends, or collaborators in research. At UCSB, a "reasonable number" is interpreted to mean "half of the letters". There should be adequate representation among the evaluators of University of California faculty members.

II. Developing The Recommendation

- _____ 9) **Solicit confidential extramural letters of evaluation** in cases of promotion to tenure, promotion to professor, merit from Professor V to VI, merit from Professor IX to Above Scale, advancement to Supervisor V and advancement to Lecturer SOE or Sr. Lecturer SOE.
- _____ 10) **Include with the case a sample copy of the letter used to solicit extramural letters** , a list of the materials sent to the letter writers, and a copy of all items that were sent to the referees (e.g., C.V., bibliography, reprints, manuscripts, and so forth) if they are not already included with the case of one-of-a-kind materials.
- _____ 11) **Assemble all pertinent information** (publications, teaching evaluations, solicited letters, etc.) in accordance with instructions set forth in the Red Binder sections related to specific actions. Be sure to include the total record of accomplishments appropriate to the review period.
- _____ 12) **Provide the candidate with an opportunity to inspect all non-confidential documents included in the review file.** Candidates should be told that they have access to non-confidential material.
- _____ 13) **Provide the candidate with the opportunity to request a redacted copy of all confidential letters and documents included in the file without revealing the identity of the sources.** One set of the redacted material must also be included in the file.
- _____ 14) **Provide the candidate with an opportunity to include a written statement responding to or commenting upon material in the file.** This should be done in sufficient time to allow the candidate's response to be taken into account in the departmental letter.
- _____ 15) **Inform the candidate that, if at any later point new information is added to the file, he/she will be informed and given an opportunity to comment.**
- _____ 16) If an ad hoc review committee will be employed, explain the role and selection of this committee and the candidate's three options (Red Binder I-60).
- _____ 17) **Inform the candidate of his/her right to request a redaction of the ad hoc committee's letter and a copy of other reviewing agencies' reports** from the office of Academic Personnel at the conclusion of the review process.
- _____ 18) **Consult colleagues in accordance with departmental practice and the rules of voting rights and eligibility established in By-Law 55.**
(<http://www.universityofcalifornia.edu/senate/manual/blpart1.html#b155>)
- _____ 19) **Write a letter of recommendation** in accordance with APM 220-80-e. Note in particular the requirement to present both supporting and opposing views. Be sure the letter is dated and signed.
- _____ 20) **Make the letter available for inspection by all departmental members eligible to vote on the case** or by a departmental committee or group established in accordance with APM 220-80-e. At this point any eligible faculty member who voted with the minority may include a "minority opinion" letter if they feel that the Departmental letter does not adequately address the opinion of the minority vote. A minority opinion letter must be submitted by the end of the inspection period to assure its consideration in the review process. All eligible faculty must be provided full access to this document. Any unresolved issues between the minority and majority opinions should be addressed in a Chair's confidential letter (Red Binder I-35)

III. Forwarding The Case

NOTE: These steps should be taken after the Departmental review of the case.

- _____ 21) **Inform the candidate orally or, if requested, in writing of the departmental recommendation, the departmental vote, and of the substance of the evaluations under each of the applicable review criteria.** Bear in mind that it is especially helpful for junior faculty to understand concerns regarding some particular aspect of their performance even if there was a strong vote of approval
- _____ 22) **Inform the candidate of his/her right to request a copy of the letter setting forth the departmental recommendation, including any minority opinions.** Identities of persons who were the sources of confidential documents are not to be disclosed and minority opinion letters should be provided in redacted format.
- _____ 23) **Inform the candidate of his/her right to make written comments, within 5 working days,** to the Chair or directly to the Dean regarding the departmental recommendation. A copy of these comments will be included in the file. If the comments are directed to the Chair, they will be made available for review by the voting faculty. Any unresolved issues between the candidate and the department evaluation should be addressed in a Chair's confidential letter (Red Binder I-35). If the comments are directed to the Dean, they will be included in the file at the time of the Dean's review and will be made available to other reviewing agencies but not to the department.
- _____ 24) **Check that the case, as packaged, is complete and properly formatted** (Red Binder I-31 for Dean's Authority merits, Red Binder I-35 for Expanded Review advancements).
- _____ 25) **Have the candidate fill out and sign the Procedural Safeguard Statement on-line through AP Folio.** Forward the case to the appropriate Dean's office.
- _____ 26) For promotions to tenure, a Chair's Recommendation for Department Representative memo suggesting up to three faculty members who are eligible to serve as departmental representative. The nominated faculty should: (1) have participated in the departmental review and voted on the case; (2) have familiarity with the research area of the candidate; and (3) be in residence during the quarter the case is likely to be considered. This memo is to be forwarded directly to the Associate Vice Chancellor of Academic Personnel and marked "Confidential." See Red Binder I-60 for sample memo format.

I-23
**CASE PREPARATION FOR INDIVIDUALS WITH
JOINT APPOINTMENTS**
(08/09)

When preparing a case for a faculty member who is jointly appointed in two or more departments, the departments are encouraged to jointly gather and prepare the materials for the case or to share case materials.

In cases requiring external letters the departments are encouraged to solicit letters jointly, or agree to share letters solicited independently. At a minimum, departments should work together to assure that they are not independently contacting the same individuals and that an appropriate mix of evaluators are being contacted.

Departments may choose to make use of an interdepartmental ad hoc committee to provide analysis of the materials in the file. Likewise, a “majority percentage” department may take the lead on a case by independently preparing the case, soliciting letters and writing the main analysis of the record.

Regardless of the method of preparation of case materials or the format of the written analysis, each department must then independently review the analysis and other supporting materials, vote, and prepare an independent departmental letter that provides the information required in RB I-35 #1 as well as any additional independent analysis or comment from the department. That letter may refer back to any joint assessment materials, but should then add any appropriate perspectives and assessments that are unique to the Department. Both the written analysis and the individual departmental letters must be made available to the candidate as part of the safeguard process.

Minority opinion reports or candidate comments in response to a departmental letter are made available only to the faculty in that department and are not shared.

SAFEGUARDS IN THE REVIEW PROCESS

(Revised 06/04)

The following procedures represent established mechanisms at UCSB and within the University of California system for the protection of the rights of individuals who are under review for merit or promotion.

1. The right to timely notification from the department for non-tenure ladder faculty.

Reference: Red Binder I-22

2. The right of being informed in detail about the "departmental recommendations and of the substance of departmental evaluations" in all reviews for merit, appraisal or promotion, "orally or, upon request, in writing."

Reference: Academic Personnel Manual (APM) 220-80d and 220-80e

Procedural Safeguard Statement

Right to respond in writing to the departmental recommendation

3. In the process of review of an Assistant Professor for formal appraisal, reappointment or promotion, should the Academic Vice Chancellor's tentative decision be to not reappoint or promote, or contrary to the departmental recommendation, the individual (and department chair, by copy of the letter) will be notified of this recommendation. The individual will also be notified of the opportunity to request copies of reviewing agency reports, at which time the department chair will also receive copies. (APM 220-84b)

The candidate and the Department Chair, after appropriate consultation within the department, shall then have the opportunity to respond in writing and to provide additional information and documentation within 10 working days of notification.

4. After the final administrative decision has been communicated to the candidate, the candidate shall have the right, upon written request, to receive from the Chancellor, or other designated administrative officer, a written statement of the reasons for that decision, including a copy of non-confidential documents and a redacted copy of the confidential academic review records in the personnel review file. (APM 220-80i) The Associate Vice Chancellor for Academic Personnel will act as the Chancellor's designee for the purpose of supplying access to reviewing agency report. Supplying the comments from reviewing agencies will fulfill the campus' obligation to provide a written statement of the reasons for the final decision.
5. If a candidate believes that standard procedures have been violated in the handling of an academic personnel matter, the candidate has a right to submit a grievance to the Academic Senate Committee on Privilege and Tenure.

**PROCEDURAL SAFEGUARD STATEMENT
INSTRUCTIONS TO THE CHAIR**

(Revised 11/15)

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

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

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

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

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

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

LADDER RANK FACULTY ADVANCEMENT: PROCEDURAL SAFEGUARD STATEMENT

(Revised 4/15)

Informational only: all safeguards are to be completed via AP Folio

PRIOR TO DEPARTMENTAL REVIEW:

1. I was informed that I was to be reviewed for this personnel action and of the process as described in APM 160, 210-1 and 220, and was informed of relevant deadlines for submission of materials.
2. I had the opportunity to ask questions, supply information and evidence, and add material to my file in preparation for the review.
3. I was informed whether or not letters of evaluation were to be sought as part of this personnel action.
4. If letters were sought (e.g., for promotion, review for advancement to Professor VI or Professor Above Scale)
 - A. I had an opportunity to suggest names of evaluators; and
 - B. I had the opportunity to submit, in writing, names of persons who, for reasons set forth by me, might not provide objective evaluations.
5. If an Academic Senate ad hoc committee is to be appointed, I was advised of my right to utilize any of the three options listed in Red Binder I-60. NOTE: If these options are utilized, they must be put in writing by the candidate and forwarded directly to the Vice Chancellor for Academic Personnel.
6. I was informed whether or not there were confidential documents (i.e. external letters, minority opinion reports) in my department review file and of my right to review a summary of any such documents.
 Yes, there are confidential documents in my file (proceed to #7)
 No, there are not any confidential documents in my file (proceed to #8)
7. If yes to #6, I was provided the contents of the confidential documents (i.e. external letters, minority opinion reports) in my file by means of:
 A. Redacted copy C. Chose not to receive contents
 B. Oral Summary
8. I had the opportunity to inspect all non-confidential documents in the review file.
9. I had the opportunity to provide a written statement in response to or comment upon all materials in the file.

FOLLOWING THE DEPARTMENTAL REVIEW PROCESS:

10. I was informed of the departmental recommendation and the substance of the evaluation under each of the applicable review criteria.

A. Copy of Departmental Recommendation

B. Oral Summary

C. Chose not to be informed

11. I was informed whether or not the department vote for the recommendation was unanimous or by a strong or a narrow majority.
12. I was informed of my right to make written comments, within 5 working days, to the Chair (or appropriate person) regarding the departmental recommendation. I was aware that these comments would be included in the file and made available to other voting faculty in the department.
13. I was informed of my right to make written comments regarding the departmental recommendation to the Dean and that these comments would be included in the file and available to other reviewing agencies outside of the Department.

I HAVE SUBMITTED THE FOLLOWING ADDITIONAL MATERIALS:

Suggested names of evaluators (in accordance with 4A above).

Names of persons who might not provide objective evaluations (in accordance with 4B above).

A written request concerning formation of a Senate ad hoc committee to the Associate Vice Chancellor for Academic Personnel (in accordance with 5 above).

A written statement in response to materials in the file (in accordance with 9 above).

A written statement about the departmental recommendation to the chair (in accordance with 12 above).

A written statement about the recommendation to the dean in accordance with 13 above.

REVIEWING AGENCY REPORTS

I request that copies of reviewing agency reports (Dean, CAP, ad hoc committee and any correspondence between them) be provided to me after the conclusion of my review.

I do not wish to receive copies of reviewing agency reports (Dean, CAP, ad hoc committee and any correspondence between them) at the conclusion of my review, but understand that I may request them at any time in the future.

SIGNED _____ DATED _____

PRINT NAME _____ DEPARTMENT _____

INSTRUCTIONS FOR COMPLETION OF THE**BIO-BIBLIOGRAPHY**

(Revised 10/17)

It is the responsibility of each faculty member and academic employee in a research title to maintain an up to date bio-bibliography (bio-bib). The bio-bib should contain information ending at the appropriate campus cut-off date as follows:

Senate Faculty	September 15
Research series	December 31
Project Scientist/Specialist	January 31

Departments may establish earlier submission dates if they desire. Information that falls beyond the cut-off date will not be considered in the review. Departments may require that the bio-bib be updated and submitted on an annual basis to assist the chair in the annual review of all Senate faculty (APM 220-80 b.)

Contributions in all areas of review that promote equal opportunity and diversity should be listed under the appropriate review area and will be evaluated and credited in the same way as other faculty achievements. Contributions may take a variety of forms including efforts to advance equitable access to education, public service that addresses the needs of diverse populations, or research that highlights inequalities.

Bio-bibs may be maintained in any format (word document, excel document, etc) but must conform the format described below. A bio-bib template is available via the Forms section of the Academic Personnel web site.

Short Curriculum Vitae

The first page of the bio-bib should contain an abbreviated curriculum vitae. The following categories should be included: Education, Area(s) of Specialization, Previous and currently held Academic or Professional Appointments and Professional Organizations.

Research

The bio-bib must contain a comprehensive and complete itemized list of publications (or other creative activity) for the entire career. Items should be identified as published, in press, submitted, and in progress according to the following format:

[A] Published work; work that has appeared in final, published format

[B] Work in press; work that has been formally accepted, completed, and is in the process of being published. In-Press work is counted toward advancement and evidence should be supplied documenting the In Press status

[C] Work submitted; work that has been submitted but not yet accepted. Such work is required to be included in the case. It is not usually counted for the advancement, but it is used as evidence of continuing scholarly productivity.

[D] Work in progress; work that has not been completed and is available for review. Such work is not counted for the advancement, but it can be used as evidence of continuing research activity. Departmental practice will dictate if work in progress is included in the case

A line should be drawn separating all new items from ones which in one form or another were part of the review file underlying the last successful advancement and should be clearly identified with an explicit indication of their subsequent change in status using the following notation system:

* for items previously listed as Work In Press

** for items previously listed as Work Submitted

***for items previously listed as Work In Progress

Footnotes should indicate the number of the publication from the prior review (i.e. previously item B-1). If a change in title has occurred since the last bio-bib, the footnote should also indicate the previous title.

If publications are being submitted via an electronic link, the link must be listed at the end of the "Title and Author" information. The link must go directly to the specific item. Electronic links may only be used for documents that are considered to be the final version. In general, work in press and published may be provided electronically while work submitted or in process should be submitted in hard copy format. All links should be verified prior to submission of the case.

If the previous action resulted in an increase in off-scale supplement only or a no-change decision, two sets of lines may be used to differentiate between what was included in the previous case vs. what took place during the review period. The departmental letter should explain the use of two sets of lines.

Teaching (For Senate Faculty only)

The bio-bib must contain an itemized, chronological (by quarter) list of workload since the last successful review. This list should include: quarter and academic year, course number, course title, course format, unit value, enrollment, share of teaching assignment, and indicate if evaluations are available. If the Budget and Planning print out is used information concerning the availability of evaluations must be added. A line may be drawn or footnotes added to indicate the transition from hard-copy to on-line course evaluations.

The bio-bib should also contain a statement of normal teaching workload for the department overall (e.g., 2-2-1) and a brief explanation of any deviations from this workload (e.g., sabbatical, administrative assignment).

A listing of graduate committee (MA and Ph.D.) service and related information since the last successful review must also be included. It should be clearly stated if service was as Chair or a member of the committee. The bio-bib should also indicate if the degree was completed during the current review period.

If a cumulative list is maintained for any of the teaching categories, a line must be drawn to show which activity is new since the last review.

Professional Activity

The bio-bib must contain an itemized list of professional activities in appropriate categories (e.g., seminars, workshops, book reviews, professional memberships, extramural grants, refereeing for journals, consulting, and so forth) that have occurred since the last successful review. If a cumulative list is maintained, a line must be drawn to show which activity is new since the last review.

University and Public Service

The bio-bib must include an itemized list of various activities by categories or level (e.g., department, Senate, administration, community, governmental, and so forth) that have occurred since the last successful review. Mentoring and advising of students and faculty that furthers diversity and equal opportunity may be listed as University service. If a cumulative list is maintained, a line must be drawn to show which activity is new since the last review.

CONFLICT OF COMMITMENT AND OUTSIDE PROFESSIONAL ACTIVITIES

(Revised 9/18)

General information

APM 025 provides specific guidelines concerning potential conflicts of commitment that may arise when faculty participate in outside professional activity, both compensated and uncompensated. While there is great value in activities outside the University that advance and communicate knowledge, it is important that these activities not conflict with the faculty member's primary responsibility to the University.

Faculty members holding the following titles are subject to APM 025:

- Assistant Professor, Associate Professor, Professor
- The above titles when used with an Acting or Adjunct pre-fix
- Lecturer PSOE, Lecturer SOE, Senior Lecturer SOE

In addition, administrative officers who hold appointments in any of the above titles are subject to APM-025, regardless of the current percent of time in the academic appointment.

A full-time faculty member on a nine-month appointment may not engage in outside professional activity for more than 39 days during the academic year. The 39-day limitation does not apply during periods of leave without pay, however prior approval of category I activity and reporting of category I and II activity is still required. Faculty receiving compensation from the University during the summer period (i.e. Summer Session teaching or research compensation) may engage in a maximum of one day per week of outside professional activity.

Categories Of Outside Professional Activity

Three categories of outside activity have been defined, in terms of the extent to which they may raise a conflict of commitment. See APM-025 for a complete explanation of activity

Category I activities are likely on their face to raise issues of conflict of commitment. Such activities are **not allowed without prior approval** from the Chancellor or designee, and when approved are subject to the 39-day limit, and must be reported on an annual basis. Prior approval is required even if the activity will take place during a period of leave without pay. Category I activities include:

- Assuming an executive or managerial position in a for-profit or not-for-profit business.
- Assuming a founding or a co-founding role of a company.
- Administering a grant outside the University that would ordinarily be conducted under the auspices of the University.
- Establishing a relationship as an employee outside the University, including teaching or research at another institution.
- Other professional activity that common sense and good judgment would indicate are likely to raise issues of conflict of commitment.

Category II activities are unlikely to raise issues of conflict of commitment. They are allowed without prior approval up to the 39-day limit and must be reported on an annual basis. Such activities include:

- Teaching for University Extension
- Testifying as an expert in administrative, legislative, or judicial hearings;
- Providing consulting services or engaging in professional practice as an individual, single- member professional corporation or sole proprietorship.
- Serving on the board of directors of an outside entity

- Providing workshops for industry
- Other outside professional activity not mentioned in Category I or III that common sense and good judgment indicate are not likely to raise issues of conflict of commitment.

Category III activities are accepted as part of a faculty member's scholarly and creative work. Even if compensated they are allowed, and do not count towards the 39-day limit. Category III activities include:

- Serving on a committee, panel, or commission established by a governmental agency;
- Acting as a reviewer or editor for journal or book manuscripts.
- Serving as a committee member or an officer of a professional or scholarly society, or providing professional services to such societies.
- Participating in or accepting a commission for an artistic performance or event not sponsored by the University.
- Presenting an invited lecture or paper at a meeting.
- Developing scholarly communications, even when such activities result in financial gain.
- Accepting honoraria (other than those received for Category II activities) and prizes.

Prior approval requirements

Request for approval to: (1) engage in Category I activities, or (2) involve a graduate student in outside professional activity must be submitted to the Department Chair by **June 30** for the upcoming academic year. Prior approval requests are submitted using the Prior Approval For Outside Activities form, (APM-025, appendix B). The request form is accessed by signing on to AP Folio, selecting the Outside Professional Activities link, and then the Prior Approval tab. The Department Chair will review the request within the context of departmental teaching demands, sabbatical leaves, other leaves, etc., and endorse or deny each request. The request will then be forwarded to the appropriate Dean for approval. If the faculty member, Department Chair and Dean agree, the Dean's decision will be final. In cases of disagreement, the Dean will consult with the Associate Vice Chancellor for Academic Personnel to reach a decision.

Category I exceptions

Exceptions to engage in teaching (with the exception of occasional lectures) or research at another institution as a salaried employee while employed as a full time faculty member at UCSB are not permitted without prior approval of the Executive Vice Chancellor. This restriction applies both during periods of paid service and periods of leave without pay.

Graduate Student involvement

Before involving a student for whom the faculty member has, or expects to have, academic responsibility in an outside professional activity the faculty member must obtain prior written approval as described above. Involvement means any substantive activity, whether paid or unpaid. The campus [Policy on Conflict of Interest in Graduate Education](#) provides guidelines for such activity.

Reporting requirements

All activity that is subject to the 39-day limit as described above must be reported on an annual basis. The annual report period is from July 1st to June 30th of each year. The Report of Category I and II Outside Professional Activities form (APM-025, appendix C) is to be used for reporting purposes. This report must be completed annually by each faculty member by September 15 of the calendar year. Faculty are to sign on to AP Folio and use the Outside Activities Reporting link, My APM-025 tab to complete the report. The Chair must review and approve each report. The Dean will review and approve the report of the Chair. The reports are considered to be non-confidential in nature and are subject to public inspection.

I-30
DEAN'S AUTHORITY MERIT REVIEWS
(Revised 1/18)

Deans have the approval authority for the following actions when the departmental recommendation is for an on-schedule (one-step) merit advance with no increase or decrease the off-scale salary supplement, at normative time or longer:–

Assistant Professor:

Advances from Step II to III, and III to IV

Associate Professor:

Advances from Step I to II and II to III

Professor:

Advances from Step I to II, II to III, III to IV, IV to V, VI to VII, VII to VIII, VIII to IX

Lecturer PSOE, SOE and Sr. Lecturer SOE:

Advancements of two increments

Should a Dean disagree with the departmental recommendation the case will be forwarded to Academic Personnel for review by the Committee on Academic Personnel and decision by the Associate Vice Chancellor.

The Office of Academic Personnel is the office of record for maintenance of personnel files and is responsible for the announcement of merit decisions.

At the end of each review cycle, the CAP will conduct a post-audit of each Dean's merit decisions. The CAP reserves the right to request to review any individual faculty case at a subsequent merit review point, regardless of the type of proposed action.

DOCUMENTS TO BE SUBMITTED BY THE CHAIR
DEAN'S AUTHORITY MERITS

(Revised 9/18)

All personnel review cases are submitted via AP Folio

I. Departmental Letter

The Chair should provide a **concise** description of the most significant developments since the last review in each of the review areas. Any criticisms or reservations should also be noted. The letter should be brief; normally one to two pages long. See Red Binder I-75 for further discussion of evaluation of four areas of review and Red Binder I-35 for details regarding the content of the departmental letter.

- Is the letter an accurate, concise and **analytical** representation of the case?
- Is the final departmental vote included (e.g. 10(yes)-0(no)-0(abstentions)-3(not voting))? Is there an indication of how many were eligible to vote?
- Are all four areas of review covered: teaching, research, professional activity and university and public service?
- Are contributions to diversity and equal opportunity given appropriate recognition?
- Is all relevant information from the Departmental letter accurately entered on the case up-load screen?

II. Chair's Separate Confidential Letter

See Red Binder I-35 for further information.

- Is the letter clearly marked "Chair's Separate Confidential"?

III. Safeguard Statement.

The candidate must sign an on-line safeguard for each departmental recommendation. If it is difficult or impossible to obtain the required signature, the Chairperson should explain the situation and indicate in what manner he/she has attempted to meet the requirements outlined in the form.

- Has the candidate signed the safeguard statements? The case may not be forwarded until the candidate has signed.
- If there are no confidential documents (e.g. external letters, minority opinion letter) the appropriate box under #6 should be checked.
- Are copies of everything the candidate has provided, or been provided, included with the case?

IV. Bio-bibliographical Update

- Is it in the proper format?
- Is the Research section a **cumulative** list of publications (or creative activities) with a line drawn separating all new items from where the bio-bib from the last review case had ended?
- Are the numbers the same as in the previously submitted bio-bib, and have items previously listed as "In Press", "Submitted" been accounted for?
- Are all items, including "In Press", "Submitted", and "In Progress" properly numbered?
- Are all teaching evaluations listed as available in the Teaching section of the bio-bib included with the case?
- If sections other than Research are cumulative, are lines drawn showing what is new since the last successful review?

V. Evaluation of the teaching record

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

- If the B&P printout is used, is it noted which classes have ESCI's?
- If small courses do not have ESCIs is an explanation provided in the departmental letter and an alternate form of teaching evaluation included?
- Does the file accurately indicate which course evaluations were done via hard-copy and which were done on-line?
- Has the second source of teaching been clearly identified on the coversheet?
- If a self-assessment of teaching was submitted, is it included with the case?

VI. Self-assessment of other accomplishments and activity (optional).

- If a self-assessment of activity and accomplishments other than teaching (V. above) was submitted, is it included in the case? Self-statements may address research, professional activity, service, or

contributions to diversity and equal opportunity.

VII. **Sabbatical leave reports.**

- If any sabbatical leaves were taken during the review period are copies of the reports included with the case?

VIII. **Outside Activity Reports (APM 025 Appendix C)**

- Has a report been completed for each academic year within the current review period included?
 Is the form approved by the Department Chair(s)?

IX. **Copies of publications.**

It is the responsibility of each faculty member to maintain copies of published research or other creative work and reviews. One set of publications for the review period should be forwarded with the case. Publications submitted with the case, along with teaching evaluations and other single copy items, will be returned to the department upon completion of the review.

- Have all items included in Part I of the bio-bib for the current review period been submitted, including In Press and Submitted items?
 Has appropriate evidence been provided for In Press items?
 Do all of the titles on the actual publications match those listed on the bio-bib?
 If publications are being included via a link in the bio-bib, has the link been verified?
 If any publications are missing from the file, is a note included noting which are missing and explaining why?

I-33
EXPANDED REVIEWS
(Revised 1/18)

The following actions for advancement in the Professorial or Lecturer SOE series require expanded review beyond the Dean:

Formal Appraisal

Terminal Appointments

Promotion to Associate Professor or Lecturer SOE

Promotion to Professor or Sr. Lecturer SOE

Merit to a special step

Merit to Professor Step VI

Merit to or within Professor Above Scale or Sr. Lecturer SOE Above Scale

All accelerated actions (including an increase in the off-scale supplement)

Reduction in off-scale supplement

All Expanded Review cases will be subject to review by the Committee on Academic Personnel. The Chancellor will have final approval authority for all promotions, advancement to Professor VI and advancement to or within Above Scale. The Associate Vice Chancellor for Academic Personnel will have final approval authority for all other Expanded Review cases.

Senate members serving on the Committee on Academic Personnel will have Expanded Review actions reviewed by a shadow CAP instead of the current membership of CAP.

DOCUMENTS TO BE SUBMITTED BY THE CHAIR
EXPANDED REVIEW CASES

(Revised 9/18)

All personnel review cases are submitted via AP Folio

I. Departmental letter of recommendation

Accurate and analytical letters of recommendation from the department are essential in the review process. See Red Binder I-75 for further discussion of evaluation of four areas of review and ~~See~~ Red Binder I-35 for further detail of content of departmental recommendations

- Is the letter an accurate, extensive, and **analytical** representation of the case?
- 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 there is a recommendation for an acceleration, are the reasons for the acceleration specifically stated?
- In the case of a negative or mixed departmental recommendation, is the basis of the recommendation clearly documented?
- If the case contains extramural letters, are letter writers identified **only** by coded list, with no identifying statements?
- If the case is for a career review, does the letter provide an overview of the career accomplishments as well as analysis of the achievements within the most recent review period?
- Are all four areas of review covered: teaching, research, professional activity and university and public service?
- Are contributions to diversity and equal opportunity given appropriate recognition?
- Is all relevant information from the Departmental letter accurately entered on the case up-load screen?

II. Chair's Separate Confidential Letter

See Red Binder I-35 for further information.

- Is the letter clearly marked "Chair's Separate Confidential"?

III. Safeguard Statement.

The candidate must sign an on-line safeguard for each departmental recommendation. If it is difficult or impossible to obtain the required signature, the Chairperson should explain the situation and indicate in what manner he/she has attempted to meet the requirements outlined in the form.

- Has the candidate signed the safeguard statements? The case may not be forwarded until the candidate has signed.
- If there are no confidential documents (e.g. external letters, minority opinion report) the appropriate box under #6 should be checked.
- Are copies of everything the candidate has provided, or been provided, included with the case (e.g. redacted letters, list of potential evaluators)?

IV. Bio-bibliographical Update

- Is it in the proper format?
- Is the Research section a **cumulative** list of publications (or creative activities) with a line drawn separating all new items from where the bio-bib from the last review case had ended?
- Are the numbers the same as in the previously submitted bio-bib, and have items previously listed as "In Press", "Submitted" been accounted for?
- Are all items, including "In Press", "Submitted", and "In Progress" properly numbered?
- Are all teaching evaluations listed as available in the Teaching section of the bio-bib included with the case?
- If sections other than Research are cumulative, are lines drawn showing what is new since the last successful review?

V. Extramural letters of evaluation and list of evaluators in cases where extramural letters are required; promotion, merit to Professor Step VI, merit to Professor Above Scale. (Red Binder I-49)

Extramural Letters

- Are there at least 6 letters, including letters from UC or UC familiar referees?
- Are at least half of the letters from references chosen by the Chair/Dept independent of the candidate?

- Have all letters been coded? Are the codes also on the redacted versions?
- If the letters were sent via email, is a copy of the email and any attachment included?
- If redacted copies of the letters were provided to the candidate, is a copy included (one copy only), and did he/she check box 7A on the Procedural Safeguards Statement?
- Are any anomalies in the composition of reviewers (e.g. less than six letters, letter writer who wrote in previous review, etc.) 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)?
- Is a list of all informational items sent to referees (e.g. CV, bio-bib, publications sent, etc. per RB I-46-VI) included? Is a copy of each item included as either part of the case or a one-of-a-kind item?
- If different versions of the letters or materials went out, is a sample of each included?

List of Referees, including brief Biography and indicating who selected referees

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

VI. Evaluation of the teaching record.

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

- If the B&P printout is used, is it noted which classes have ESCI's?
- If small courses do not have ESCIs is an explanation provided in the departmental letter and an alternate form of teaching evaluation included?
- Does the file accurately indicate which course evaluations were done via hard-copy and which were done on-line?
- Has the second source of teaching been clearly identified on the coversheet?
- If a self-assessment of teaching was submitted, is it included with the case?

VII. Self-assessment of other accomplishments and activity (optional).

- If a self-assessment of activity and accomplishments other than teaching (VI. above) was submitted, is it included in the case? Self-statements may address research, professional activity, service, or contributions to diversity and equal opportunity.

VIII. Sabbatical leave reports.

- If any sabbatical leaves were taken during the review period are copies of the reports included with the case?

IX. Outside Activity Reports (APM 025 Appendix C)

- Has a report been completed for each academic year within the current review period included?
- Is the form approved by the Department Chair(s)?

X. Copies of publications.

It is the responsibility of each faculty member to maintain copies of published research or other creative work and reviews. One set of publications for the review period should be forwarded with the case. Publications submitted with the case, along with teaching evaluations and other single copy items, will be returned to the department upon completion of the review.

- Have all items included in Part I of the bio-bib for the current review period been submitted, including In Press and Submitted items?
- Has appropriate evidence been provided for In Press items?
- Do all of the titles on the actual publications match those listed on the bio-bib?
- For tenure cases, have you included all publications?
- If publications are being included via a link in the bio-bib, has the link been verified?
- If any publications are missing from the file, is a note included noting which are missing and explaining why?
- For other career reviews (promotion to Professor, to Step VI, to Above Scale), are all publications since last review, and all or a representative sample of publications from the prior record included?

HOW TO WRITE A DEPARTMENTAL LETTER**Appointments and Advancements**

(Revised 11/15)

Accurate and analytical letters of recommendation from the department are essential in the review process. The candidate and his/her department must make the case; other reviewing agencies cannot do so. The analysis should be extensive, and for promotions, merits to step VI and to Above Scale the analysis should cover the cumulative record of the candidate. In cases where acceleration is recommended, explicit justification must be given for the recommendation. In any case, the letter should clarify which of the candidate's accomplishments precede the last review and which follow.

Personnel reviews that have been deferred due to a family accommodation (i.e. childbearing or parental leave, extension of the tenure clock) should be evaluated without prejudice as if the work were done in the normal period of service. The departmental letter should clearly state that the standard expectations are being applied.

The departmental letter should provide a summary of both the positive and negative aspects of the case. Direct quotes from faculty ballots or from the departmental discussion should be avoided. The analysis overall should strive for balance. It should identify criticisms and reservations, especially when there is significant opposition to the recommendation. It should, if indicated, include an assessment of the significance of particular extramural views or judgments. In the case of a negative departmental recommendation, the basis of the recommendation should be documented as well.

Individuals who have provided confidential letters of evaluation should not be identified, except by means of a coded list (e.g., "Reviewer A"). Note that in career reviews (promotions and advancement to step VI or Above Scale), the department letter should provide an overview of career accomplishment as well as the achievements of the most recent review period.

The letter should provide a comprehensive assessment of the candidate's qualifications together with detailed evidence to support this evaluation. The letter should be a complete professional evaluation (accurate and analytic), including both supportive and contrary evidence. At the same time the letter should be succinct. Extended quotations from supporting documents (e.g. external letters, bio-bib) and rhetorical statements are to be avoided, since overly long letters are a burden to all reviewing agencies. The Chair should make clear which portions of his/her letter refer to the candidate's past accomplishments and which refer to accomplishments falling within the current **review period**.

Teaching, research, professional and public service contributions that promote diversity and equal opportunity are to be encouraged and given due recognition in the evaluation of the candidate's record. Contributions to diversity and equal opportunity may include effort to advance equitable access to education, public service that addresses the needs of diverse populations, or research in a scholar's area of expertise that highlights inequalities. Mentoring and advising of students and faculty members, particularly from underrepresented and underserved populations, should also be given due recognition.

Suggested format for letters of recommendation

1. Brief outline of the mechanisms used for soliciting information and evaluating the academic performance of colleagues in cases of merits, promotions, and so forth (e.g., departmental use of ad hoc committees, teaching evaluation committees, departmental meetings to assess candidates, etc.). Explanation of any apparent anomalies in the voting, e.g., a disproportionately small number of votes relative to departmental size, or excessive abstentions should also be explained.
2. The basis for the departmental recommendation, including analytical evaluation of the performance in each area of review appropriate to the academic series.

A) Research

Present a full evaluation of candidate's research record, indicating the significance of the research

accomplishments.

The departmental letter should present the publication record for the current review period according to the following format: [A] Published work; [B] Work in press; [C] Work submitted.

In certain fields such as art, architecture, dance, music, literature, and drama, distinguished creativity should receive consideration equivalent to that accorded to distinction attained in research. In evaluating artistic creativity, an attempt should be made to define the candidate's merit in the light of such criteria as originality, scope, richness, and depth of creative expression. An important element of distinction is the extent of regional, national, or international recognition.

The departmental letter must assess the degree and quality of the candidate's role in any collaborative work, or explain why such assessment is impracticable.

B) Teaching

The department letter should assess the overall contributions of the candidate to the departmental curriculum on lower-division, upper-division, and graduate instruction. The department assessment might also evaluate the candidate's contribution to academic advising, thesis and dissertation directorship, committee work relating to the curriculum, "mentoring" colleagues, or frequency of invited lectures given by the candidate.

The letter should include an evaluation of the candidate's teaching performance, including an analytical evaluation of the ESCI scores and indicating the significance of the record. The letter should clearly indicate which courses were evaluated on-line and should take into consideration the possible impact of the change in methodology from paper to on-line evaluation. The analysis should include information on the number of graduate committees (MA and Ph.D. as reflected in the bio-bibliography).

C. Professional Activity

The departmental letter should include a full analysis of the candidate's performance, indicating the most prominent features of the record. The significance of honors, awards and extramural grants should be described. If a contract or grant is listed as "continuing", detail of any changes in the funding should be provided.

D. University and Public Service

The letter should include a full analysis of candidate's involvement, indicating the significance of the record and the quality of the service.

3. Summary

This section is optional, and may be used to summarize the most significant accomplishment of the review period, and to provide an explicit justification for acceleration or other special action.

In cases of appraisal, departments may make one of the following three recommendations: a) Continued Candidacy: indicating an assessment that the candidate is likely to eventually qualify for promotion to tenure rank. B) Continued Candidacy with Reservations: indicating an assessment that there is an identified weakness in the record that appears to require correction in order for the individual to eventually qualify for promotion to tenure rank. C) Terminal appointment. In addition, the letter must also include an evaluation of the performance as progress toward eventual tenure.

Chair's Separate Confidential Letter

While this option is not often used, the Chair may, in accordance with APM 220-80e, submit a separate letter indicating his/her own analysis and recommendation. This letter is not made available to other members of the faculty in the department. It should be noted that a Chair's separate letter is designed to be evaluative of the evidence available to the department; new evidence can be considered on the rare occasions when it could not be appropriately shared with the department. A Chair's confidential letter may also be used to address unresolved issues between majority and minority opinions related to a case, or to

address a candidate's comments in response to the departmental review. When a Chair submits a confidential "Chair's separate letter", it should be clearly identified as such, and will become part of the personnel review file. The status of such a letter is considered to be non-departmental (as is a letter from a dean). It is not submitted to an ad hoc review committee when one is convened. As a "confidential academic review record" (as defined in APM 160-20-b), a Chair's letter will be made available to the candidate upon request along with other review agency reports at the end of the review process.

I-36
ACCELERATIONS
(Revised 08/07)

Departments should not hesitate to propose accelerated advancement to reward cases of superior performance where there is clear justification. Acceleration can occur during an on-time review, but early advancement to the next step or rank is the most appropriate form of acceleration. For on-time reviews, an adjustment in salary (the addition of an off-scale supplement or an increase in an existing supplement) may be proposed when the appropriate reward does not correspond to early advancement in step. Response to “market pressures,” as evidenced by competitive outside offers in the context of a retention case, would typically be addressed via increase in the off-scale salary supplement, as described in Red Binder I-8, and not necessarily by advancement in step.

To this end, Departments should review faculty performing at a superior level in advance of their normal eligibility for merit increase or promotion. Evidence of superior performance compared to faculty at similar rank and step will depend on the field, but may consist of:

1. A substantial increase in creative activities (such as research publication, exhibitions, or performance), with particular emphasis on creative activities in significant venues that would have an impact beyond normal expectations.
2. Prestigious new awards or other such evidence of peer recognition for the impact of past creative work.
3. Extraordinary achievements in two or more areas of review, coupled with excellent performance in the other areas.

Acceleration at the time of a merit review must be based on activity during the period since the last review. Acceleration at the time of a career review may be based on the cumulative record.

As with any on time advancement, the individual’s next eligible date for advancement will be based on the effective date of the accelerated advancement if an advancement in step occurs. The next eligible date will not normally be affected by an increase in off-scale supplement with no change in step.

"SPECIAL" OR "OVERLAPPING" STEPS

(Revised 04/09)

Step V of the Assistant Professorship and Step IV of the Associate Professorship are "special" steps in the ladder series -- "special" in the sense that these steps may be utilized for advancement when a member of the ladder faculty shows evidence of work that is likely to lead to promotion in the near future when completed, but whose established record of accomplishment has not yet attained sufficient strength to warrant promotion. In addition, the use of the special step of Assistant Professor V is appropriate for individuals who have accumulated a significant research record, but have not yet established an equivalent teaching record that would merit consideration for tenure. Service at the special steps is in lieu of service at the first step of the next rank.

Once advanced to a special step, the normal progression is for promotion to the next rank. Upon advancement to a special step, the faculty member is eligible for review for promotion each year until promoted. If promoted earlier than the normative time at step (two years at Assistant V and three years at Associate IV), promotion should be lateral and eligibility for future merit will be determined based on the combination of years at the special step and years at Step I at the higher rank. If promoted at the normative time at step, the "on-time" advancement will be to Step II of the higher rank. The appropriate level of advancement in the case of promotion after more than the normative time at step will be dependent on the strength of the case and should not be determined simply based on time served at the special step.

Further advancement within the special step will not occur at less than the normative time at step (two years at Assistant V and three years at Associate IV) and will require evidence that promotion is likely to occur with the next review.—

I-38
FORMAL APPRAISAL
(Revised 11/16)

Formal appraisals are made "in order to arrive at preliminary assessments of the prospects of candidates for eventual promotion to tenure rank as well as to identify appointees whose records of performance and achievement are below the level of excellence desired for continued membership in the faculty" (APM 220-83).

A formal appraisal of an Assistant Professor will be conducted during the fourth year of service in that title, or in combination with this and other titles counted under the eight-year rule, as defined in APM 133-0 a and APM 133-0 b. Individuals appointed at the higher steps of the Assistant Professor rank may be promoted after less than four years of service, in which case an appraisal would not occur. The formal appraisal may be deferred, by request, if the faculty member has had time off the tenure clock. The formal appraisal will not be conducted earlier than the fourth year, however, departments should be informally mentoring junior faculty throughout their Assistant Professor or Lecturer PSOE appointment.

Departments may make one of the following three recommendations in an appraisal case:

- a. Continued Candidacy: indicating an assessment that the candidate is likely to eventually qualify for promotion to tenure rank.
- b. Continued Candidacy with Reservations: indicating an assessment that there is an identified weakness in the record that appears to require correction in order for the individual to eventually qualify for promotion to tenure rank.
- c. Terminal appointment.

The departmental vote should be taken providing the above three options rather than a yes-no vote on any one of the possible outcomes.

The departmental letter of recommendation should contain a description and analysis of the candidate's total performance in each of the four areas of evaluation and an evaluation of the performance as progress toward eventual tenure. The procedures for Expanded Reviews (Red Binder I-35) should be followed in preparing the appraisal recommendation. An appraisal done in conjunction with a Dean's Authority merit increase is still considered an Expanded Review action.

Prior to a formal appraisal the Chair should inform the candidate of the criteria for advancement and the nature of the review process as set forth in APM 210-1 d and APM 220. This step would reasonably include a discussion of the relative value given to books versus journal articles, etc., the importance of research vis-à-vis teaching or University service, and the relative merits of long- and short-term research goals. The structure of the review process, including the responsibilities of various reviewing agencies, should also be explained fully. The candidate should be told that a formal appraisal can not result in a promise of eventual tenure. A final decision for Continued Candidacy, based as it is on an early sample of the record an Assistant Professor will present when later considered for tenure, is only a tentative prognosis. Promotion to tenure rank will require greater accomplishment in all review areas and receives a more extensive review that includes solicitation of extramural letters as well as the convening of an ad hoc review committee.

In all formal appraisal reviews the candidate will receive redacted copies of all reviewing agency reports. A decision for a Terminal Appointment shall be made only in accordance with APM 220-84.

I-39
**ASSISTANT PROFESSOR REVIEWS
TERMINAL APPOINTMENTS
AND DECISIONS TO DENY PROMOTION**
(Revised 10/11)

A proposal not to reappoint an Assistant Professor may originate with the Department Chairperson as a result of departmental review during the consideration of reappointment. In this event, the case shall be reviewed in accordance with the provisions of APM 220-82 and 220-84.

In any case in which non-reappointment of an Assistant Professor is considered, there shall be review by the Committee on Academic Personnel. An ad hoc committee shall be appointed if the Chancellor or the Committee on Academic Personnel requests it.

During a review of a reappointment, a formal appraisal, or a promotion of an Assistant Professor (or other appointee of equivalent rank), if the Chancellor 's (or designee's) preliminary assessment is to make a terminal appointment or to deny promotion the Department Chair and the candidate shall be notified of this in writing by the Chancellor (or designee). The candidate also shall be notified of the opportunity to request access to the records placed in the personnel review file subsequent to the departmental review in accordance with APM - 160-20 c. When the candidate is provided copies of such records, copies shall also be provided to the Department Chair. Copies of such records will also be provided to the Dean if the materials are used or referred to in the response of the candidate or Chair. The candidate and the Chair, after appropriate consultation within the department, shall then have the opportunity to respond in writing and to provide additional information and documentation. The candidate may respond either through the Department Chair or directly to the Chancellor (or designee). This response must be submitted within 10 working days of the date the candidate receives the reviewing agency reports. The personnel review file, as augmented by the added material, shall then be considered in any stage of the review process as designated by the Chancellor (or designee) before a final decision by the Chancellor is reached. The Chancellor's final decision to make a terminal appointment or to deny promotion requires the appropriate preliminary assessment notification process and opportunity to respond being provided to the candidate as specified herein.

In accordance with APM 220-80 i after the final decision, the candidate may request a copy of non-confidential documents and a redacted copy of confidential documents. Such requests should be made to the Associate Vice Chancellor for Academic Personnel.

The above notification procedure provides the opportunity for reconsideration and possible reversal of the preliminary assessment for a terminal appointment or denial of promotion. For this reason, reconsideration of a terminal appointment or denial of promotion will only take place when there is substantial evidence of significant improvement in the faculty member's record of scholarly achievement, particularly with respect to those elements of the record that have been previously identified as areas of weakness. When these conditions are met, a request for reconsideration of a terminal appointment or denial of promotion, justified by a brief review of the new evidence that supports the request, may be submitted by the department, to the Dean of the College/School/Division. If permission is granted by the Dean, the case may be re-submitted for reconsideration; however this will not extend the terminal appointment end-date. Any such request may include information only through September 15 of the eighth year of service and must be submitted to the Deans office by the second Monday in November.

I-40
PROMOTION TO TENURE
(Revised 08/07)

The principal criterion for promotion to tenure is succinctly stated in the following passage from APM 210-1 d:

Superior intellectual attainment, as evidenced both in teaching and in research or other creative achievement, is an indispensable qualification for appointment or promotion to tenure positions.

The other criteria for review, namely professional activity and University service, must be given due consideration, but they can never be considered sufficient in and of themselves to justify promotion to tenure. Superior intellectual attainment in teaching and in research or other creative achievement is essential for promotion to tenure.

In attempting to make the phrase "superior intellectual attainment" operational, it is to be recognized that a particular intellectual discipline or subject-area (in the case of interdisciplinary programs), as represented in a local department or program together with the larger national and/or international context of the discipline or area, provides the most informed evaluation of outstanding or superior performance. The most useful critical assessment of "superior intellectual attainment" in research or other creative achievement must come primarily from those who are established figures in the field, primarily from colleagues in the department as well as faculty in comparable departments and programs nationally and internationally. (In this connection, departments may wish to provide an operational interpretation of the phrase "superior intellectual attainment" which they consider appropriate to the particular discipline or subject-area). Candid, thorough, documented and concise assessment on this level is clearly essential if reviewing agencies are to perform their proper analytical and evaluative task. Furthermore, it is essential that a candidate's performance be measured by the highest standards of excellence that are currently recognized by a given intellectual discipline or subject-area.

The most useful critical assessment of "superior intellectual attainment" in teaching must come primarily from those familiar with the methods and approaches in teaching that are appropriate in a given candidate's area of expertise. In many instances, the assessment of a candidate's performance in teaching is most satisfactorily carried out and documented by the Chairperson of the department in consultation with other faculty departmental colleagues, utilizing course evaluations, intramural letters or analyses from undergraduate majors and graduate students in a department, extramural letters from former students, reports of colleagues concerning a candidate's performance in public lecture contexts, seminar discussions, and so forth. In a few instances, further evidence of teaching performance may be obtained from extramural assessments, based on analyses of a candidate's performance in seminars or panels at national or regional professional meetings. Again, it is essential that a candidate's performance be measured by the highest standards of excellence that are currently recognized by a given intellectual discipline or subject-area in the area of teaching.

It must also be stressed that the department's responsibility in the matter of promotion to tenure begins long before the final assessment and recommendation. This is to say, in the normal course of events, a working environment that provides opportunity for developing a high quality program of research and teaching should be cultivated by the department. In addition, the teaching assignments of junior faculty should provide opportunity for a candidate to demonstrate how his or her expertise will contribute in significant ways to the department's graduate and undergraduate educational programs. It is also the department's responsibility to apprise junior faculty early (and regularly) of the standards for qualification for tenure and the bases for assessment.

When the time arrives for final evaluation for promotion to tenure, it should be remembered that the recommendation should be based primarily on academic grounds as have been specified above. Such matters as resource limitations should not be at issue in making such a recommendation. If, after rigorous review (department and extramural), significant and credible doubts about a candidate's academic performance persist, then a candidate should not be recommended for promotion to tenure.

In view of this policy which stresses the highest standards of intellectual excellence that can be attained only by candidates of unquestioned ability, an important corollary should be set forth. If, after careful academic review, a department should choose not to recommend a candidate for promotion to tenure; and if that recommendation is sustained, the FTE vacated because of the termination will normally be retained by the department.

Promotion to tenure review will normally take place by the end of the 6th year of service or after two years of service at Assistant Professor IV. The review may occur sooner if justified by the record. The review may also be deferred into the 7th year. Deferral beyond the 7th year will not be considered.

PROMOTION TO PROFESSOR

(Revised 08/12)

Promotion to Professor requires an accomplished record of research that is judged to be excellent within the larger discipline or field. Superior intellectual attainment, as evidenced both in teaching and in research or other creative achievement, is an indispensable qualification for advancement to Professor. Sustained excellence in the areas of University and public service as well as professional activity is expected for promotion to the Professor rank. This is a career review and therefore is based on a review of the individual's entire academic career.

MERIT TO PROFESSOR VI

(Revised 08/12)

Advancement to Professor VI is based on evidence of sustained and continuing excellence in each of the following categories: (1) scholarship or creative achievement, (2) University teaching, and (3) University and public service, and (4) professional activity. In addition, great distinction, recognized nationally or internationally in scholarly or creative achievement or in teaching is required for merit to Professor VI. This is a career review and therefore is based on a review of the individual's entire academic career.

MERIT TO, OR WITHIN, PROFESSOR ABOVE SCALE

(Revised 5/16)

Advancement to Professor Above Scale is reserved for scholars and teachers of the highest distinction (1) whose work of sustained and continuing excellence has attained national and international recognition (2) whose University teaching performance is excellent, and (3) whose University and public service is highly meritorious, and (4) whose professional activity is judged to be excellent. Advancement to Professor Above Scale will normally occur after at least four years of service at Professor IX with the individual's complete academic career being reviewed.

A merit increase for a candidate already serving at an Above Scale salary level must be justified by new evidence of merit and distinction appropriate to this highest level of the professorship. Continued good service is not an adequate justification.

A merit increase of 7% reflects sustained excellence in all four review areas as well as new evidence of merit and distinction. Increases of more than 7% are reserved for accomplishment that demonstrably exceeds in every review area the already high expectations for achievement at this level. Examples include exceptional research productivity or professional activity, significant recognition such as distinguished awards, prizes, endowed lectureships, or elections, or extraordinary university service. The interval between salary increases is a minimum of four years. Accelerations will not be approved except for the most superior cases, supported by compelling evidence and a reasoned argument.

Faculty who have attained Above Scale status may use the title "Distinguished Professor" as an honorary title. Because this title is honorific, it may not be used on legal documents such as contract and grant applications that require an official employment title. The title may be used for such purposes as correspondence, CV, or website listings. Faculty who retire at Above Scale status may use the title Distinguished Professor emeritus/a.

I-44
RETENTIONS
(Revised 04/13)

Although not automatic, it is campus practice to match an outside offer made by an equivalent or higher quality institution, contingent upon the usual review process. Request for salary increases based on retention will be awarded through increase in off-scale salary rather than an increase in rank or step. A retention may, however be coupled with a merit or promotion recommendation that is based on the individual's accomplishments and record. Retention requests are processed through the regular personnel review system, including review by the Dean and CAP, with final approval resting with the Associate Vice Chancellor for Academic Personnel or the Chancellor (RB I-1 for approval authority). Retention cases that involve an increase in off-scale salary only may be processed at any time and are not subject to the standard case submission deadlines. Cases coupled with a merit or promotion will be subject to the standard deadlines unless an exception is requested and approved by the Associate Vice Chancellor. Salary increases associated with retentions will be effective July 1. Note that recommendations related to individuals being recruited by other UC campuses must abide by APM limitations on intercampus recruitment (APM 510).

Required documents;

Copy of external offer. A formal offer is preferable, however it is recognized that other institutions, particularly in industry or foreign countries may recruit without providing a "formal" offer at a time that would allow UC to try to retain the individual. If it is not possible to provide a copy of a formal offer, the department should clarify and explain the information provided in the informal offer, specifically whether a formal offer has been or is about to be made and who is making the offer.

Updated CV or bio-bibliography. While this is not mandatory, and may not be possible to submit in highly time-sensitive retentions, it is preferable to include an updated CV or bio-bib with the request. This allows reviewing agencies to see the level of productivity and activity up to the current date and can provide additional support to the department's request to retain the individual.

While a safeguard statement is not required for retentions (increase in off-scale only), the department is still required to provide the candidate with access to the departmental letter, and copies of reviewing agency reports may be requested by the candidate at the end of the review.

Departmental letter of recommendation. A departmental vote is required for any salary action, including an increase in off-scale in response to an outside offer. The departmental letter should provide information about the quality of the offer including the standing of the institution or department within the institution making the offer. If the salary being offered is on a different basis (i.e. fiscal year vs. academic year) or in foreign currency, the department should provide justification for its recommended "match" in salary. Fiscal year salaries are converted to Academic year salaries using a factor of 1.16.

GUIDELINES FOR LETTERS OF EVALUATION

(Revised 10/17)

I. Solicited letters

When letters of evaluation are solicited, the models on the following pages should be used. These letters may be modified slightly; for example the confidentiality statement may be listed on a separate sheet as an attachment referenced in the body of the letter. “Please see the attached University of California statement on confidentiality.” Although the content may be rearranged, none should be deleted, nor should substantive information be added, without prior approval by the Office of Academic Personnel. Departments may choose to use a two-stage solicitation process whereby individuals are first asked, by memo or e-mail, if they would be willing to provide a letter. Those that agree will then be sent materials for review.

II. Unsolicited letters

When unsolicited letters of evaluation are received from an individual or institution, a response should be sent which explains the University's position on the confidentiality of such records. See sample wording H, “Sample thank you letter for unsolicited comments.” Unsolicited letter writers should be listed on the list of extramural letter writers and a copy of the thank you letter must be included with the case.

III. Letters for Assistant Professor/Lecturer PSOE Appointments and Restricted letters

Restricted letters or placement files may be used in Assistant Professor/Lecturer PSOE appointment cases of candidates who have not held prior academic positions post-terminal degree. Appointments requested at the Assistant Professor IV or V level, or for candidates who have held prior academic positions post-terminal degree, should preferably contain evaluator letters solicited by the department or submitted as part of the applicant file. Appointment files at the Assistant Professor/Lecturer PSOE level will normally contain at least three external letters.

When letters of evaluation are received from individuals or institutions that have restrictions placed on the use of the materials forwarded, the sending individual must be notified that under applicable University policy and legal standards the department cannot accept and use evaluations under such restricted conditions. There are two reasons:

1. When a candidate is appointed, evaluations considered at the time of appointment become part of his/her permanent academic personnel record.
2. The University is legally required to maintain, for at least two years, documentary materials pertaining to all applicants in a completed search.

In addition, such material may be relevant in litigation in which discrimination in the appointment process is alleged, or in federal or state agency proceedings that inquire into compliance with applicable governmental affirmative action standards. Therefore, when a department receives a file with such limitations on use, the sending individual should be informed that the Department can not accept the material under the conditions stated. Sample wording I, “Restricted Material” may be used in these circumstances. If the sending individual requests that the file not be used, the evaluatory material in the file can not be considered by the department. Placement files from other UC campuses may be used in an appointment case without being considered restricted. However, placement files from any other University must be treated as restricted if the cover sheet includes a statement indicating that the letters will not be used for any personnel case purpose.

IV. Letters for tenured appointments and career advancements

Letters should come from tenured faculty at distinguished institutions, preferably from full professors. Letters from UC familiar reviewers, are necessary for all tenured appointments, promotions and career reviews. Letters from UC familiar writers are essential for appointment/advancement to Professor VI and Professor Above Scale, preferably from faculty already at these senior ranks. Departments should strive to include at least two UC familiar letters for cases in which such letters are required. At least half of the letters submitted with the case should come from references chosen by the Chair in consultation with the department but independent of the candidate. The letters solicited by the department should come from scholars who have not been closely associated with the candidate as collaborators in research, or as teachers, colleagues, or personal friends. A minimum of six analytic letters is required. Typically, more than six letters will have to be solicited in order to achieve this minimum.

1. **Appointment cases:** When the department is unsure of the exact rank or step to be proposed, the sample solicitation wording for both levels may be used. For example, the language for appointment as Professor I-V and appointment as Professor VI-IX may both be used if the step is not yet clear.
2. **Advancement cases:** Faculty undergoing career reviews have the right to suggest names of potential external evaluators (Red Binder I-22, 7.) The candidate should be advised of the parameters governing the mix of external evaluators. It will be helpful for the candidate to know that a request not to use certain potential evaluators will be made part of the review file and, while such requests may be disregarded (if proper evaluation requires such action), they are made and honored regularly and that a reasonable request should in no way jeopardize the candidate's case. An effort should also be made not to contact individuals who have contributed letters for prior reviews of the same candidate

Any deviation from the above requirements (i.e. less than two UC familiar evaluators, fewer than six letters, an uneven mix between department and candidate nominated) should be fully explained by the department in the coded list of evaluators.

Any reviewing agency may request, through the Office of Academic Personnel, that the file be augmented by additional extramural letters if the letters supplied with the case are viewed as inadequate for proper evaluation of the case. Since such requests delay the review of the case, it is important that the letters supplied by the department meet the above requirements.

V. List of evaluators

The Chair must submit a list of all persons from whom an extramural letter was solicited (Red Binder I-48). The list must indicate which names were submitted by the candidate and which were submitted by the department. In addition the list must contain the following information for individuals who provide letters: name, position/title, institution, field of expertise, past collaborative relationship with the candidate, and any past reviews for which the letter writer also contributed a letter. Similar information must be provided for any unsolicited letters included in the file. Special attention should be given to describing the qualifications and stature of the extramural referees. For individuals who either did not respond to the initial request to write or declined to write, only their name and home institution need be included on the list. The list should be accompanied by a master copy of the letter requesting evaluation, a list of the materials sent to the letter writers, and a copy of all items that were sent to the referees (e.g., C.V., bibliography, reprints, manuscripts, and so forth) if they are not already included with the case of one-of-a-kind materials. The manner in which referees were selected should be described (e.g., "by departmental ad hoc committee", "by Chair in consultation with three senior colleagues", and so forth). The Chair should ensure that individuals who have provided confidential letters of evaluation are not identified in the departmental letter, except by means of a coded list uploaded appropriately with the case.

VI. Additional Information

If letters are solicited, but the decision by the department is to not forward an advancement case, the letters must be maintained by the department and be included in the next advancement case along with any new letters solicited. However, if the letters are not used within three years, they may be destroyed.

If electronic mail is used to solicit or receive letters of recommendation the sample letter format must be followed, and a printed copy must be retained. Redaction of electronic responses should eliminate all headers and footers that would identify the sender. If the response is sent as an e-mail attachment, the e-mail and the attachment must both be included in the case, both properly redacted.

Letters for appointment cases that are received via UCRecruit should be noted as such on the list of evaluators. The solicitation letter and confidentiality statement are generated automatically by UCRecruit and do not have to be included in the case.

When an individual holds appointments in more than one department (joint appointments), the departments may solicit letters jointly, if appropriate.

Contact between the Chair and individuals from whom letters are being solicited is permissible in order to encourage response, but great care must be taken to not bias or influence the judgment of the referee.

SAMPLE LIST OF EXTRAMURAL REFEREES

(Revised 9/18)

SUGGESTED BY DEPARTMENT

- A. Dr. David Rodriguez -- Professor of Psychology at Stanford University, Dr. Rodriguez has been recognized as the leading authority on bilingual language acquisition among children for the past twenty years and is a member of the National Academy of Sciences..
- B. Dr. Jane Williams -- Currently Clinical Director for the Center for the Study of Linguistic Development in Cambridge, MA. Dr. Williams has written the authoritative text on linguistic development and now heads the most extensive longitudinal study of bilingual children in the nation.
- C. etc.
- D. etc.

SUGGESTED BY CANDIDATE

For appointment cases, indicate if letters were submitted via UCRecruit

- E. Dr. Keo Carey -- Chair of the Psychology Department at Penn State. Dr. Carey was Maria Smith's Ph.D. advisor.
- F. etc.
- G. etc.

INDEPENDENTLY SUGGESTED BY BOTH THE CANDIDATE AND DEPARTMENT.

H.

UNSOLICITED COMMENTS

- I. etc.
- J. etc.

DID NOT RESPOND

Joe Smith, Harvard University
Anne Brown, UC Berkeley

DECLINED TO WRITE

Mary Johnson, UCLA-already overcommitted

CANDIDATE REQUEST TO NOT CONTACT

I-49
**SAMPLE LETTER FOR SOLICITATION
OF EXTRAMURAL EVALUATION**
(Revised 02/10)

Current Date

Name
Department
University

Dear Dr. _____,

[Opening remarks: e.g., I am writing to ask for your assistance in an important matter.]

INSERT APPROPRIATE PARAGRAPH FROM SAMPLES THAT FOLLOW:

- A. Appointment to Assistant Professor
- B. Appointment or Promotion to Associate Professor
- C. Appointment to Professor I-V
- D. Promotion to Professor
- E. Appointment at Professor VI- IX
- F. Merit to Professor VI
- G. Appointment or Merit to Professor Above Scale
- H. Thank You Letter for Unsolicited Comments
- I. Restricted Materials (Non-UC Placement Files)
- J. Appointment to Lecturer PSOE
- K. Appointment or Promotion to Lecturer SOE
- L. Appointment or Promotion to Sr. Lecturer SOE
- M. Continuing Lecturer Excellence review
- N. Continuing Lecturer promotion to Sr. Lecturer
- O. To Letter Writers from a Prior Review for Amendment or New Letter

[Sample wording for evaluation request: e.g. I would greatly appreciate your evaluation of _____'s work.] While you may not be familiar with all aspects of the record, we appreciate your comments related to those areas with which you are familiar. Please also indicate whether or not you would support the recommended action based on your knowledge of _____ and his/her record.

Although the contents of your letter may be passed on to the candidate at prescribed stages of the review process, your identity will be held in confidence. The material made available will lack the letterhead, the signature block, and material below the latter. Therefore, material that would identify you, particularly your relationship to the candidate, should be placed below the signature block. In any legal proceeding or other situation in which the source of confidential information is sought, the University does its utmost to protect the identity of such sources.

[Closing remarks: e.g., I realize what an imposition on your time these requests are. I want to thank you in advance for your willingness to assist in this matter.]

Sincerely,

Department Chair

WORDING FOR SOLICITATION LETTERS BY PROPOSED ACTION

(Revised 5/16)

A. Appointment to Assistant Professor

_____ is being considered for an appointment as an Assistant Professor in the Department of _____. Appointment to Assistant Professor within the UC system is made in the expectation that the appointee will meet standards for a tenure appointment by the time a promotion decision is due. Recommendations for faculty appointments at this level must indicate clear evidence of potential excellence in both teaching and research.

B. Appointment or Promotion to Associate Professor

_____ is being considered for (an appointment as/ promotion to) Associate Professor in the Department of _____. Appointment (or promotion) to Associate Professor within the UC system includes tenure. The record of performance in (a) teaching, (b) research or other creative work, (c) professional activity, and (d) University and public service is carefully assessed. Reasonable flexibility is used in making personnel judgments, but flexibility does not entail the relaxation of high standards. Superior intellectual attainment, as evidenced both in teaching and in research or other creative achievement, is an indispensable qualification for appointment (promotion) to tenure positions.

[When appropriate in promotion cases add: UCSB encourages its faculty members to consider extensions of the pre-tenure period under circumstances that could interfere significantly with development of the qualifications necessary for tenure. Examples of such circumstances may include birth or adoption of a child, extended illness, or care of an ill family member. 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.]

C. Appointment to Professor I-V

_____ is being considered for an appointment as Professor in the Department of _____. The ranks of Associate Professor and Professor within the UC system are tenured. The record of performance in (a) teaching, (b) research or other creative work, (c) professional activity, and (d) University and public service is carefully assessed. A candidate for the rank of Professor is expected to have an accomplished record of research that is judged to be excellent by his or her peers within the larger discipline or field. Reasonable flexibility is used in making personnel judgments, but flexibility does not entail the relaxation of high standards. Superior intellectual attainment, as evidenced both in teaching and in research or other creative achievement, is an indispensable qualification for appointment to a Professor rank position.

D. Promotion to Professor

_____ is being considered for promotion to Professor in the Department of _____. Individuals under consideration for this rank have attained tenure at the Associate Professor rank. The record of performance in (a) teaching, (b) research or other creative work, (c) professional activity, and (d) University and public service is carefully assessed. A candidate for promotion to the rank of Professor is expected to have an accomplished record of research that is judged to be excellent by his or her peers within the larger discipline or field. Reasonable flexibility is used in making personnel judgments, but flexibility does not entail the relaxation of high standards. Superior intellectual attainment, as evidenced both in teaching and in research or other creative achievement, is an indispensable qualification for promotion to a Professor rank position.

E. Appointment at Professor VI- IX

_____ is being considered for an appointment as Professor [specify step] in the Department of _____. In the University of California, there are nine steps within the rank of Professor. The normal period of service is three years in each of the first five steps. Service at Professor, Step V, may be of indefinite duration. Appointment to Step VI, or higher, calls for evidence of highly distinguished scholarship, highly meritorious service, and evidence of excellent University teaching. In addition, great distinction, recognized nationally or internationally, in scholarly or creative achievement or in teaching is required for appointment at this step.

F. Merit to Professor VI

_____ is being considered for advancement to Professor [specify step] in the Department of _____. In the University of California, there are nine steps within the rank of Professor. The normal period of service is three years in each of the first five steps. Service at Professor, Step V, may be of indefinite duration. Advancement to Step VI, or higher, involves an evaluation of the candidate's entire career and calls for evidence of sustained and continuing excellence in each of the following categories: (1) scholarship or creative achievement, (2) University teaching, and (3) University and public service and (4) professional activity. In addition, great distinction, recognized nationally or internationally, in scholarly or creative achievement or in teaching is required for advancement to this step.

G. Appointment or Merit to Professor Above Scale

_____ is being considered for (an appointment as/ advancement to) Distinguished Professor (Professor Above Scale) in the Department of _____. In the University of California, there are nine steps within the rank of Professor (steps I-IX). Steps VI, VII, VIII, and IX are reserved for highly distinguished scholars. There is one further rank beyond Step IX, Distinguished Professor. Distinguished Professor is the highest rank attainable by a faculty member in the University of California system. (Appointment/advancement) to an Above Scale salary is reserved for the most highly distinguished faculty (1) whose work of sustained and continued excellence has attained national and international recognition, (2) whose teaching performance is excellent, (3) whose University and public service is highly meritorious and (4) whose professional activity is judged to be excellent.

H. Sample Thank You Letter for Unsolicited Comments

Use the sample letter, modifying as follows:

[Opening remarks: e.g., Thank you for sending us your letter of recommendation regarding _____ who is currently under consideration for an appointment in our department. I would like to inform you that

[Confidentiality paragraph]

I would appreciate if you would inform me whether, in light of our policies, we may proceed with the use of your letter in the personnel file or if you wish it to be destroyed. If you do not respond by _____ the materials will be maintained in our files.

I. Sample Letter for Restricted Materials (Non-UC Placement Files)

Use the sample letter, modifying as follows:

We have received your letter of evaluation regarding _____ who is currently under consideration for an appointment in our department. This letter was received as part of a placement file from _____ which states that this material (not be made part of the individual personnel file/be returned to you after we have completed our use of it/be destroyed after we have completed our use of it/etc.) I am writing to inform you that we are unable to accept and use the material you sent with the constraint on its use that you have stated, and to explain why we are unable to do so.

Under University of California policy, evaluatory material about an individual who is (appointed to an academic position/being considered for promotion) becomes part of the individual's permanent personnel record. (In addition, we are required under applicable legal standards to retain in our files for at least two years documentary material that we have considered on all applicants for a position that has been filled.)

[Confidentiality paragraph here]

I would appreciate if you would inform me whether, in light of our policies, we may proceed to use the material from the placement file, or whether you wish us to destroy the materials without using them in the file. If you do not respond by _____ the materials will be maintained in our files.

J. Appointment to Lecturer PSOE

_____ is being considered for an appointment as a Lecturer with Potential Security of Employment in the Department of _____. Appointment to Lecturer with Potential Security of Employment within the UC System requires clear evidence of potential excellence in teaching and promise of future growth. Research and creative activity, although not required for Lecturer with Potential Security of Employment positions, is also reviewed when available

K. Appointment or promotion to Lecturer SOE

_____ is being considered for (an appointment as/ promotion to) Lecturer with Security of Employment in the Department of _____. Appointment (or promotion) to Lecturer with Security of Employment within the UC System requires clear evidence of teaching ability of exceptional quality, and promise of future growth. Research and creative activity, although not required for Lecturer with Security of Employment positions, is also reviewed when available.

L. Appointment or promotion to Sr. Lecturer SOE

_____ is being considered for (an appointment as/ promotion to) Sr. Lecturer with Security of Employment in the Department of _____. Appointment/promotion to Senior Lecturer with Security of Employment within the UC System requires teaching ability of exceptional quality and evidence demonstrated, in terms appropriate to this type of appointment, that the candidate has reached the level of professional achievement required of a professor. Research and creative activity, although not required for Senior Lecturer with Security of Employment positions, is also reviewed when available.

M. Continuing Lecturer Excellence review

_____ is being considered for review to be appointed as Lecturer, Continuing Appointment in the Department of _____. Appointment beyond six years as a Lecturer within the UC system includes the right to a Continuing Appointment so long as the University determines that the instructional need exists and that the instructional performance of the lecturer is excellent. The record of performance in teaching is carefully assessed and the standard of excellence is an indispensable qualification for appointment beyond six years.

N. Continuing Lecturer promotion to Sr. Lecturer

_____ is being considered for a promotion to Senior Lecturer, Continuing Appointment in the Department of _____. Appointment beyond six years as a Lecturer within the UC system includes the right to a Continuing Appointment so long as the University determines that the instructional need exists and that the instructional performance of the lecturer is excellent. The record of performance in teaching is carefully assessed and the standard of excellence is an indispensable qualification for appointment beyond six years. _____ completed a review for Lecturer, Continuing Appointment in ____ and is now being considered for promotion to the rank of Senior Lecturer, Continuing Appointment. Along with continued excellence in the area of teaching, promotion to the Senior rank requires service of exceptional value to the university. Service activities may include departmental or campus governance or activities that involve the candidate's professional expertise in a context outside the University's environment.

O. To Letter Writers from a Prior Review for Amendment or New Letter

Last year you were kind enough to provide an evaluation of Professor _____'s work in consideration of advancement to _____. We appreciate your time and attention in preparing that letter. For institutional reasons, [we did not pursue the case at that time] or [further consideration of this proposed action is currently taking place]. Your earlier evaluation is now part of the official record (copy enclosed). I write to inform you that you may, if you wish, at this time add further comments or an update letter to be included in the record. We certainly encourage you to do so. We are enclosing Professor _____'s current vita and publications to assist in your update.

MATERIALS TO EXTERNAL REVIEWERS

(Revised 4/15)

In cases where external letters of recommendation are required materials are traditionally provided to the external evaluators to assist them in their evaluation. While departments maintain a large amount of flexibility concerning what is sent, the following guidelines must be observed:

Reviewers must at a minimum be provided with a copy of the candidates CV or Bio-bibliography and access to copies of publications. While departments may choose to send copies of publications with the letter requesting evaluation, they may also ask that the reviewer inform them if they do not have access to the publications at which time they will be provided. Documents may be provided via on-line links or copied on to CD and sent to the evaluators if appropriate.

Departments may choose to send other materials such as a self-statement covering one or more of the review areas to the external reviewers. However, if materials beyond the CV/bio-bib and publications are sent, the procedures must be consistent among all employees within any given series undergoing the same type of review. Requirements for letters in each series are included in the corresponding Red Binder sections. Departments should also use caution in providing documents beyond the usual items. Teaching evaluations, correspondence, and materials from past cases are examples of items that should not be sent to evaluators.

A list of the materials provided to the external reviewers must be submitted with the case

Any materials that were provided to the reviewers that are not otherwise included in the case must be submitted with the case.

I-56
**LECTURER/ SENIOR LECTURER
SECURITY OF EMPLOYMENT**
(Revised 4/15)

Security of Employment

An appointment with Security of Employment or Potential Security of Employment can only be granted in conjunction with the titles Lecturer or Senior Lecturer, Security of Employment is not a reward for length of service but is based upon appraised and recognized merit. It cannot be conferred on an appointee unless there is an appropriately budgeted provision for the appointment. An individual may first be appointed as Lecturer with Potential Security of Employment. This may be viewed as a "security of employment-track" position, in the same way that an Assistant Professor position is a "tenure-track" position. Appointments in this series must be at greater than 50%. Lecturers with Potential Security of Employment and Lecturers or Senior Lecturers with Security of Employment are members of the Academic Senate when appointed at 100%.

Campus Policy on Allocation of FTE

It is campus policy to consider the possible allocation of a provision for a Lecturer or Senior Lecturer SOE or Lecturer PSOE primarily in cases where the curricular duties are so specialized in character that it would be difficult to assure continuance of the presentation of the subject matter with any other type of appointment. A permanent allocation will be made only after an administrative review of a departmental request that must make a persuasive case that such an appointment fits this description and meets long range needs. This request and supporting justification should be submitted to the Executive Vice Chancellor via the Dean; it will also be reviewed by the Council on Planning and Budget. Lecturer and Senior Lecturer provisions will be rarely granted and only after the most rigorous scrutiny. The reason for this is that the university is primarily both a research and teaching institution. Provisions for permanent appointments or reappointments with the possibility of permanence should normally be used for the appointment of regular ladder faculty, that is to say, faculty who engage in both research (or other creative activity) and teaching.

I. Qualifications

At least one of the following qualifications is essential for appointment in the Lecturer SOE series:

1. Teaching ability in a subject matter so specialized in character that it would be difficult to assure continuance of the presentation of the subject matter with any other type of appointment, and promise of future growth.
2. Lecturer PSOE: clear evidence of potential excellence in teaching and promise of future growth.

Lecturer SOE: teaching ability of exceptional quality, and promise of future growth.

Sr. Lecturer SOE: teaching ability of exceptional quality and evidence demonstrate, in terms appropriate to this type of appointment, that the candidate has reached the level of professional achievement required of a professor.

II. Appointment Criteria

Teaching:

Excellent teaching is an essential criterion for appointment. Clear documentation of ability and effectiveness in teaching is required. In judging the effectiveness of a candidate's teaching, such points as the following should be considered:

1. The candidate's command of his/her subject.
2. Continuous growth in his/her field.
3. Ability to organize material and to present it with force and logic.
4. Capacity to awaken in students an awareness of the relationship of his/her subject to other fields of

knowledge.

5. Grasp of general objectives.
6. The spirit and enthusiasm which vitalize his/her learning and teaching.
7. Ability to arouse curiosity in beginning students and to stimulate advanced students to creative work.
8. Personal attributes as they affect his/her teaching and students.
9. The extent and skill of his/her participation in the general guidance and advising of students.

Documentation

Documentation of teaching should include a description of the candidate's teaching load for the review period (at UCSB the normal teaching load for Lecturers in the SOE series is three courses per quarter or an appropriate equivalent). Documentation should also include an enumeration of the MA and Ph.D. candidates supervised or directed to completion of their degrees, and class-by-class summaries of all available teaching evaluations. Other significant types of evidence include:

1. Opinions of colleagues, particularly if based on class visits, observations of lectures, or knowledge or performance in courses prerequisite to those taught by the informant.
2. Opinions of current and former students.
3. Number and caliber of students the candidate has guided in their studies or attracted to the campus by his/her repute.
4. Information about the reception of lectures given by the candidate before professional or learned societies.
5. Information about time spent in teaching extra courses including University Extension, being available to and guiding students outside class, preparing for classes, undertaking courses he/she has not taught before, and improving instructional methods.

Student and peer evaluation of teaching is central to the review process, but evidence will also be sought of significant contributions to university level teaching through development of superior teaching materials, programs for teaching improvement, and other activities related to teaching.

Professional Competence and Activity

Evidence includes such items as:

1. Election to significant offices of professional or learned societies.
2. Invitations to lecture, present papers, etc.
3. Awards, grants or honors bestowed by organizations or foundations.
4. Requests for consultative service.

University and Public Service

Evidence should include a list of the candidate's services (with dates) in departmental, Academic Senate and administrative capacities (including committee service), and a list of formal service to the community or to public agencies. Evaluation of service in these areas is helpful. Recognition should be accorded the candidate for able administrative or faculty governance, and for able service to the community, state or nation when such service rests upon professional expertise. Contributions to student welfare should also be recognized.

Letters of evaluation

At least six letters of evaluation should be submitted with the case for appointment or promotion with Security of Employment, at least half of which come from individuals selected by the Chair in consultation with the department but independent of the candidate. The letters may be of two types:

- 1) Letters from extramural referees with knowledge of the candidate's professional status and teaching record.
- 2) Letters from UCSB Senate faculty, external to the department, who have conducted a peer review of the candidate's teaching. Peer evaluation may include classroom visits or videotaping, commentary on course syllabi, reading assignments, and examinations. Qualitative descriptions and opinions are preferable to quantitative ratings or comparative rankings in peer evaluation of teaching. Such letters are subject to the same redaction and confidentiality policies as extramural letters.

Appointments to Lecturer, Potential Security of Employment may include placement files or restricted letters as outlined in Red Binder I-46, III.

In all cases, the sample letter for solicitation of extramural evaluation (Red Binder I-49) and the sample wording by proposed action (Red Binder I-50) should be used.

III. Compensation

The review cycle for a Lecturer in the SOE series is determined by the years at rank and years since last advancement.

Salaries for Lecturers with Potential Security of Employment will normally begin at a close equivalent to the salaries for Assistant Professors. Academic personnel review will occur every two years. Promotion to Lecturer SOE will normally occur during the sixth year of service as Lecturer PSOE.

Salaries for a Lecturer SOE normally begin at a close equivalent to the salaries for Associate Professors. Academic personnel review will occur every two years. Eligibility for advancement to Senior Lecturer SOE will occur after six years as Lecturer SOE. An individual who is not promoted to Sr. Lecturer SOE may continue to receive further merit increases, however eligibility will be every three years if the individual is being paid at a level equivalent to the salary of a Professor. The salary of a Lecturer SOE will not exceed the level of Professor VI.

Salaries for a Senior Lecturer SOE begin at a close equivalent to the salary for Professor I. Academic personnel review will occur every three years.

IV. Restrictions

1. An Assistant Professor with eight years of service, who is not promoted to Associate Professor may not be appointed to the Lecturer SOE series unless a five year break in service has occurred.
2. Total service at more than half-time as Lecturer with Potential Security of Employment is limited to a maximum of eight years.
3. For a Lecturer PSOE at less than 100% time, promotion to Lecturer SOE automatically removes the individual from Unit 18.
4. Since appointees in the Lecturer series are hired for their teaching skills, they will normally carry significantly higher teaching loads than members of the professorial series. At UCSB the teaching load for the Lecturer SOE series will be determined by the departmental workload policy for titles in Unit 18.
5. Lecturers in the SOE series are not eligible for sabbatical leave. They may however request "educational leave" as described in Red Binder VI-7.

V. Advancement

The academic advancement process for the Lecturer SOE series will be governed by the policies and procedures for ladder faculty reviews (Red Binder I-22). Lecturers in this series will be guaranteed the same rights and will undergo the same levels of review as ladder faculty. All cases are to be submitted via AP Folio using the checklists for submission by the department chair (Red Binder I-31 and I-34). Teaching is the primary area of review in the SOE series. Written student comments must be included with the case.

1. Merit

Merits within a Lecturer PSOE, Lecturer SOE or Senior Lecturer SOE title are Dean's Authority if they are on time based on the limitations in III above, the proposed salary increase is for at most two increments on the appropriate salary scale. These actions should be prepared using the guidelines listed in Red Binder I-31, modified appropriately to address the requirements of the SOE series.

2. Appraisal

A Lecturer PSOE has a probationary period much like that of an Assistant Professor. A mid-career review and appraisal of progress toward promotion will take place during the fourth year of service and will be conducted according to procedures and with the degree of rigor used in evaluating regular faculty (Red Binder I-38), modified appropriately to address the requirements of the SOE series.

3. Promotion

A Lecturer PSOE will become eligible for promotion to Lecturer SOE when the salary is a close equivalent to Assistant Professor IV. Promotion must occur by the end of the eighth year of service. Promotion to Lecturer SOE will require the same level of qualifications as initial appointment to Lecturer SOE.

A Lecturer SOE will become eligible for promotion to Senior Lecturer SOE after six years of service as Lecturer SOE. Promotion to Senior Lecturer SOE will require the same level of qualifications as initial appointment to Senior Lecturer SOE.

Promotions and accelerated actions are Expanded Reviews and should be prepared using the guidelines listed in Red Binder Section I-34 modified appropriately to address the requirements of the SOE series.

I-60
AD HOC REVIEW COMMITTEES
(Revised 11/14)

I. General

Ad hoc review committees are required for the following reviews:

- 1) recommendation for termination
- 2) appointment or promotion to tenure or security of employment

An ad hoc review committee may be appointed for any level of review when it is determined by CAP or the Associate Vice Chancellor for Academic Personnel that additional expert analysis is required in order to make a more informed recommendation. CAP may waive the requirement of ad hoc committee review in appointment cases at Professor VI or above. CAP may act as its own internal ad hoc committee in cases other than recommendations for termination.

II. Make-up of Ad Hoc Review Committees

Ad hoc review committees are made up of three members plus a non-voting departmental representative. Under special circumstances, the Chairperson of a department may serve as departmental representative. In cases of advancement to Above Scale, a departmental representative is not normally appointed to the committee. -

When an ad hoc review committee is considering its recommendation, the department representative will participate in the discussions to some reasonable point before the conclusion of the discussion and the vote. A departmental representative will be provided an adequate opportunity to present any and all relevant information that he or she wishes or is requested to provide, but he or she will not contribute to, or see the letter of the ad hoc review committee.

III. Appointment of Ad Hoc Review Committees

Faculty members are nominated by the Committee on Academic Personnel to serve on ad hoc review committees.

When an ad hoc committee is to be appointed, the Associate Vice Chancellor for Academic personnel will contact the Department Chair to solicit recommendations of departmental faculty members for service as departmental representative on the ad hoc committee. Normally three names will be requested. The Department Chair must not disclose to the candidate or to other faculty in the department the names included in the recommendation.

The Department Chair should select faculty members who: (1) participated in the departmental review and voted on the case; (2) have familiarity with the research area of the candidate; and (3) will be in residence during the quarter the case is likely to be considered. Possible suggestions for ad hoc committee service may include faculty members who were centrally involved in the preparation and/or presentation of the candidate's case to the department. In all cases, the Department Chair should provide a slate of nominees who will be as objective as possible.

The recommendation by the Chair of a particular faculty member, or members, does not in any way limit the ability of the Committee on Academic Personnel to nominate other eligible faculty members from the department to serve as departmental representative. Committees are appointed by the Associate Vice Chancellor for Academic Personnel. The committee is informed that its membership, deliberations and decision are strictly confidential, as is the name of the candidate. In accordance with APM 160, the candidate is entitled to receive a redacted copy of the ad hoc review committee's report, without disclosure of the identity of review committee members.

IV. Candidate Request Concerning Ad Hoc Membership

Requests concerning the membership of the ad hoc committee should be submitted by the faculty member directly to the Associate Vice Chancellor for Academic Personnel. Such requests will be kept confidential and will be honored to the extent possible. Faculty members may request the following prior to the formation of the ad hoc committee:

- (a) that two members of his or her department representing majority and minority opinion in his or her case be appointed to the review committee.
- (b) that a member of the review committee be appointed from another UC campus.

- (c) that a limited number of specific faculty members from his or her department not be appointed as the Department Representative for the ad hoc committee to review his or her case. In no case may more than 20% of the department faculty eligible for service on the particular review committee be excluded, except that one person may be named no matter how small the department.

V. Department Representative

The designated departmental representative should decline to serve:

- 1) If he/she has not participated in the departmental review of the candidate, or
- 2) If he/she voted with a minority of faculty members regarding the merits of the case or would, on other grounds, find it difficult to represent the department's position.

VI. Ad Hoc Committee Reports

The Chairperson of the ad hoc review committee is encouraged to write the committee report immediately after the meeting takes place. In any event, the Chairperson's draft report is due in the Academic Senate office within 48 hours of the ad hoc committee meeting. If circumstances prevent meeting this deadline, it is appreciated if the Chairperson notifies the Senate Secretariat of the anticipated delay.

All members of the ad hoc committee are bound by a "modified signature waiver" under which members are obligated to sign the final version of the ad hoc committee report within three working days of being notified that the final version is ready for signature. A member's signature will be assumed if he or she has not physically signed the final report or submitted a minority statement by the end of the three working day period.

EVALUATION OF ADMINISTRATIVE SERVICE

(Revised 04/13)

Faculty Administrators, including Department Chairs, Directors, Associate Deans, and Deans who discharge their administrative duties with thoroughness and distinction and who give effective academic leadership to their department may not have much time left for teaching and research. It may be difficult for Administrators to maintain themselves as scholars during the period of service in the administrative position. It must be acknowledged that they have had to give up to administrative duties time they would otherwise have been able to devote to teaching and scholarship, and reviewing agencies must take into account the extent and quality of their administrative service in considering them for merit increases and for promotions. The principle involved is that academic leadership is, in itself, a significant academic activity. Both departments and reviewing agencies should take the amount of administrative service into consideration when setting expectations for achievement within a review period. While service in and of itself cannot serve as the primary grounds for advancement, it is appropriate to consider excellence in administrative service as part of the academic review.

While time devoted to administrative service may be taken into consideration regarding expectations for merit review, career reviews (i.e. Promotions in rank, and advancement to Step VI of the Professorship or to an above scale salary), are of greater significance than merit increases within rank and can not be justified wholly on the basis of administrative service. The standards for advancement may not be lessened. Nevertheless, although promotion from Associate Professor to Professor requires evidence of intellectual attainment and growing distinction, substantial evidence of these qualities may well be found in the way in which successful administrators perform their duties. In the case of promotion for Assistant Professor to tenure rank, the requirement of "superior intellectual attainment, as evidenced both in teaching and research or creative achievement" can not be waived. But an Assistant Professor who has served effectively as an administrator has evidenced a considerable degree of intellectual maturity if he/she has provided academic leadership for persons of higher rank, and this certainly should be considered in evaluating his/her promotion to tenure.

In assessing the merits of an administrator it will be necessary to follow the regular procedures of review. However a special effort should be made to assure that Administrators are not passed over. The advice of other administrative officers, individuals outside of the department, and reviewing agencies will be particularly important in such cases. After an administrator leaves the position, his/her further advancements in salary or rank should be judged by the regular criteria

PROCEDURE FOR RECALL OF SENATE FACULTY

(Revised 9/18)

A Senate Faculty member who has retired may be recalled to active teaching duty for one quarter or more. Retired faculty may also be recalled for research activity. A faculty member may be recalled 90 days after the date of retirement, or after receipt of the first retirement payment, whichever occurs first. However, in no case may a faculty member be recalled sooner than 30 calendar days after the retirement date. Appointments may not exceed 43% time, alone or in combination with other recall appointments. Exceptions to this limit may be granted only by the Chancellor and will rarely occur. A faculty member considering returning on a recall basis in the quarter immediately following retirement should consult with the benefits office.

Requests for recall appointments are made using the [Academic Recall Appointment Form](#).

I. Teaching appointments

The appropriate annual salary for the recall appointment is the annual rate at the time of retirement, range adjusted forward. A retired Senate Faculty member may be recalled to teach one quarter or more. If recalled for only one quarter, the appointment should be on a 9/9 basis. If the appointment is for one full year it may be made on a 9/12 basis. Appointments will be entered into UCPath using the Recall Teaching title.

II. Research appointments

A retired Senate Faculty member who is recalled to serve in an extramurally funded research capacity may be appointed as a Research Professor. These are normally year-to-year appointments. Appointments may also be made for shorter periods of time. The terms and conditions of employment for a faculty member who is recalled for research parallel those of a faculty member who is recalled to teach. However, those holding the Research Professor title will have the right to direct Masters and Ph.D. theses without the need to petition the Graduate Council for permission. In the event that a Senate Faculty member is recalled both to teach and for extramurally funded research in the same department for the same time period, the Research Professor title will be used. Requests for appointment as Research Professor may be sent directly from the employing unit to Academic Personnel. Paid appointments as Research Professor are made on an 11/12 rate. The appropriate annual rate at the time of retirement, range adjusted forward, converted to an 11/12 basis (multiply the current 9/12 rate x 1.16). Appointments will be entered into PPS using the Recall Faculty title.

III. Administrative appointments

Recall appointments will be approved for administrative service only in rare and unusual circumstances and may be approved only by the Executive Vice Chancellor after consultation with the Associate Vice Chancellor for Academic Personnel. Terms of such appointments will be individually set based on the nature of the service. Appointments will be entered into UCPath using the Recall Faculty title.

IV. Approval authority

<u>Title</u>	<u>Title Code</u>	<u>Approval Authority</u>
Professor Emeriti	1132	
Recall: teaching	1700 (Recall-Teaching)	Dean
Recall: research	1702 (Recall-Faculty)	Associate Vice Chancellor
Recall: teaching and research	1702 (Recall-Faculty)	Associate Vice Chancellor
Recall: administrative	1702 (Recall-Faculty)	Executive Vice Chancellor

APPOINTMENT AND ADVANCEMENT

**A publication of the
Committee on Academic Personnel
prepared in consultation with the
Associate Vice Chancellor for Academic Personnel
(Revised 9/18)**

This compilation is intended as an aid for the use of Departmental Chairs and ladder faculty. It is not a substitute for the official documents governing appointment and advancement at UCSB, the Academic Personnel Manual and Red Binder, which are authoritative and must be carefully adhered to in personnel actions. Rather it is intended to provide a comprehensive overview of the policies and procedures governing appointment and advancement from the perspective of the Committee on Academic Personnel. Key terms are in **boldface type** to draw attention to their importance; *italics* are used for emphasis.

The official manual governing personnel actions is the Academic Personnel Manual (APM), issued and revised by the President of the University. UCSB campus policies and procedures are contained in the “Red Binder.” The President also issues an annual list of salary scales. These documents are available for reference at <https://ap.ucsb.edu/>

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I. RANKS, STEPS, AND NORMAL PERIODS OF SERVICE WITHIN STEPS

The information in this summary concerns primarily the faculty in the **professorial ranks**: Assistant Professor, Associate Professor, and Professor. There is a normal period of service for most **steps** within these ranks, as indicated in the following table. However, movement between ranks (**promotion**) or from one step to another within a rank (**merit advancement** or **merit increase**) *depends upon merit. It is never automatic*, and it can be faster than normal in recognition of outstanding performance (an **acceleration**) or delayed when performance is not up to normal (a **deceleration**).

REGULAR RANKS, STEPS, NORMAL PERIODS OF SERVICE

ASSISTANT PROFESSOR (8 year limit, non-tenured)		ASSOCIATE PROFESSOR (6 years normal, tenured)		PROFESSOR (indefinite, tenured)	
<u>Step</u>	<u>Normal period of service</u>	<u>Step</u>	<u>Normal period of service</u>	<u>Step</u>	<u>Normal period of service</u>
I	2 (not used at UCSB)				
II	2				
III	2				
IV	2				
V	2 (over-lapping step)	I	2		
VI	2 (not used at UCSB)	II	2		
		III	2		
		IV	3 (over-lapping step)	I	3
		V	3 (not used at UCSB)	II	3
				III	3
				IV	3
				V	3
				VI	3
				VII	3
				VIII	3
				IX	4

Assistant Professor V and Associate Professor IV are **special steps**. Service at these steps may count as "**time-in- step**" in the related steps of the next higher rank; e.g., after two years as Associate Professor IV and one year as Professor I, a candidate may be reviewed for a normal merit increase to Professor II, just as would be done after three years at Professor I. Normal advancement occupies six years at the Assistant Professor rank with eight as the maximum before either promotion or termination; six years at the Associate Professor rank; and an indefinite time in the Professorship.

In addition to the regular steps, some appointments or advancements may be made **Above Scale**, i.e., to salaries above Professor IX. These salaries are reserved for scholars of "the highest distinction, whose work has been internationally recognized and acclaimed." An exceptionally high salary must be approved by the President.

Service at Professor V through IX, or at Above Scale salary may be for indefinite duration. Accelerated advancement before three years of service at these steps (four years at Step IX and Above Scale) will occur only in exceptional cases. Everyone will be formally evaluated at least once every five years (**a mandatory review**).

Off-scale salary supplements

In special circumstances, an individual may be given an **off-scale** salary, consisting of a **salary supplement** added to the listed salary at the assigned step. A recommendation for such a salary increase must be fully justified by the department or reviewing agencies recommending it. At UCSB off-scale salaries are used to respond to external market conditions in recruitment and retention, as well as to provide a partial reward in cases when a full step advancement is not indicated.

II. MATERIALS REQUIRED FOR PERSONNEL ACTIONS

Each time a recommendation for a personnel action is initiated, a **dossier** or **file** containing materials relevant to that

recommendation is prepared by the Department Chair. The complete dossier includes the following:

1. The **UCSB Biography** form supplied by the candidate at the time of appointment, which summarizes his/her professional career including salaries up to that time. (*Needed only for appointments*)
2. The updated **Bio-Bibliography** prepared by the faculty member.
3. In certain cases **extramural letters** of appraisal or recommendation from qualified experts evaluating the quality of a person's research or creative work and his/her professional reputation. Such letters are required in all cases of appointment and promotion, and for advancement to Professor VI and Professor Above Scale. A minimum of six analytical letters is required, and at least half should be chosen by the Chair *in consultation with the department* but independent of the candidate. The other half can be nominated by the candidate. It is important that at least some of the external evaluators are familiar with UC standards. For certain advancement cases, UC familiar references are required. The department's submission must include a coded list including a brief resume of the qualifications of each reviewer, indicating whether the reviewer was chosen by the candidate or by the department. This list should also indicate any relationships between the candidate and the reviewer (e.g., thesis advisor, co-author, etc.) and if the reviewer has previously written for the candidate.

The Chair should have minimum contact with the extramural evaluators beyond the letter soliciting the evaluation, because intended or unintended suggestions or hints to the evaluators may distort results and work unfairly either for or against the candidate.

4. A letter of recommendation initiating the proposed appointment or advancement, normally written by the Department Chair. (When a Chair is under consideration for advancement the case will be handled by a Vice-Chair or other senior faculty member). The Chair's letter should be accompanied by all relevant information, including particularly the signed **Safeguard Statement** in advancement cases.
5. A thorough evaluation of teaching as described in Section V below.
6. A complete set of publications covering the review period, which will be returned to the department at the conclusion of the review. "Review period" in cases for appointment and promotion means the complete record of the candidate (in cases where this is impractical, a complete record of the most recent work and a sample of other significant works may be submitted). For merit review cases "review period" means years at step, ignoring any off-scale salary supplement.

III. THE REVIEW PROCESS

Overview of the reviewing process (many of these steps are not applicable to appointment cases)

1. In the spring the Associate Vice Chancellor for Academic Personnel publishes a list of faculty members eligible for normal advancement or promotion during the coming academic year.
2. The Department Chair notifies each faculty member of his/her eligibility for personnel review. The Chair should also review faculty not on the eligibility list for the possibility of accelerated merit or promotion.
3. The faculty member *either* requests a deferral of action for one year *or* prepares evidence for the review, with the assistance of a departmental personnel committee, or a case supervisor, or the Chair. Deadlines for submission of materials to departments should be set in line with College or Campus deadlines to allow timely processing of cases.
4. The candidate is given the opportunity to respond to the materials in the file.
5. The case is presented and discussed. This is followed by a vote of eligible faculty in accordance with Senate By-Law 55 or other departmental voting procedures approved by CAP.
6. The Chair writes a letter analyzing the case and summarizing the department's recommendation. This letter is available for inspection, amendment, or rebuttal by all eligible department members.
7. A candidate for advancement is given an oral summary or written copy of the departmental recommendation and provided the opportunity to comment.

8. The candidate completes the Safeguard Statement.
9. A separate confidential letter from the Chair should not be submitted except on the rare occasions when evidence exists that could not be appropriately shared in the department letter.
10. The department letter, along with all publications, teaching evidence and other materials pertaining to this review (the “dossier”) is sent forward to the Dean.
11. In cases where the Dean does not have final authority, the dossier, including the Dean's letter, is sent to the Office of Academic Personnel, which forwards it to the Committee on Academic Personnel (CAP). CAP assigns the case to one or more members, usually from as similar a field as possible. (Note: cases are *never* assigned to a CAP member who belongs to the candidate's own department; in fact, CAP members are never present during discussion of cases from their own departments.)
12. In appointments and promotion to tenure, terminations, and advancements to Above Scale, an ad hoc review committee is appointed by the Chancellor’s designee on nomination from CAP. CAP may elect to serve as their own internal ad hoc except in the case of a terminal appointment recommendation.
13. CAP considers the case *after* the ad hoc committee and the Dean have submitted their letters. If no ad hoc review is required, CAP proceeds once the Dean’s recommendation is received. A draft letter is written by the assigned member, distributed to the whole committee, read aloud, and fully discussed. A vote is taken in the rare cases when a consensus recommendation cannot be reached.
14. CAP's recommendation is forwarded to the Office of Academic Personnel for the final decision. If the Chancellor's (or designee's) *tentative decision* differs from CAP's and/or the Dean's recommendation, it is sent back to that agency for further comment. If the recommendations vary by \$2,000 or less, the Chancellor (or designee) will not be required to consult further.
15. The Chancellor's (or designee's) final decision is communicated to the department and the candidate. In certain cases a “Chancellor’s tentative decision” must precede the final decision. (See Red Binder I-39)

Details of the review process

1. Preparation of the Recommendation: (see Red Binder I-35) Recommendations for personnel actions normally originate with the Department Chair. His/her letter should provide a comprehensive assessment of the candidate's qualifications together with detailed evidence to support the evaluation. The letter should also present a report of the Chair's consultation with the members of his/her department, including the vote tally and the basis for any dissent. The Chair should explain any apparent anomalies in the voting, e.g., a disproportionately small number of votes relative to departmental size, or excessive abstentions.

The departmental letter should be a complete professional evaluation (accurate and analytic), including both supportive and contrary evidence. At the same time the letter should be succinct. Extended quotations from supporting documents and rhetorical statements are to be avoided, since overly long letters are a burden to all reviewing agencies. The Chair should make clear which portions of his/her letter refer to the candidate's past accomplishments and which refer to accomplishments falling within the current **review period**.

The candidate has the right to augment the dossier with items relevant to the case, so long as the submission does not violate the privacy of third parties or other campus policies. Such materials may include self-assessments, award letters and other professional items. Dissenting department members have the right to have a minority report included with the department letter. However, a minority report should not be submitted unless, after good-faith efforts by all parties, the minority believes that its views are not accurately represented in the Chair’s letter.

The Chair should also communicate with the candidate as required by Section 220-80 of the APM and outlined in “Departmental Checklist for Academic Advancement”, Red Binder I-22. An oral summary or preferably a written copy of the departmental letter is given to the candidate as part of the review process.

2. The Dean of the appropriate college or division makes his/her analysis and recommendation without reference to the recommendation of any reviewing agency other than the Department. He/she has access only to the departmental file, to previous departmental letters, and to previous Dean's recommendations. Of course, publicly available scholarly materials are available to all reviewing agencies.

3. On behalf of the Chancellor, An *ad hoc* review committee (nominated by CAP and appointed by the Associate Vice Chancellor for Academic Personnel) is may be formed for cases involving promotion to tenure, tenure appointment, and terminal appointment. The membership of such a committee is known only to CAP and to the Chancellor, the Executive Vice Chancellor, the Associate Vice Chancellor for Academic Personnel, and the committee itself. In promotion and appointment cases, the ad hoc review committee includes a representative from the Department who is not present during the final discussion and vote; it normally includes faculty of the same or higher rank and step from related departments. The ad hoc review committee makes its recommendation independently of all other reviewing agencies; it has access only to the file as it comes from the department. It does not have access to the prior personnel review file, to the Dean's letter, or to a separate confidential letter from the Chair, if one was submitted.
4. The Committee on Academic Personnel has access to the analyses and recommendations of all the aforementioned agencies, and to previous recommendations concerning the candidate.
5. The Chancellor (or designee) reviews the recommendations of all reviewing agencies (department, Dean's office, ad hoc review committee, if any, and CAP). If there is an inclination to make a decision which differs from the CAP's or the Dean's recommendation, that agency is informed of the tentative decision and given the opportunity to respond. If the recommendations vary by \$2,000 or less, the Chancellor (or designee) will not be required to consult further. The final decision is communicated to the candidate and the department. (Note: some cases with salaries above a certain level require Presidential approval.)

IV. SOME PROCEDURAL MATTERS

1. Requests for Further Information: Any reviewing agency may request additional information or documentation. The Dean sometimes requests such information directly from the Chair; ad hoc review committees and CAP always make such requests through the Associate Vice Chancellor for Academic Personnel. Such requests do not reflect on the merit of the candidate, nor do they imply that the departmental recommendation is not credible. They are meant to make the case file complete. The candidate should be informed of additional materials obtained (APM, Section 220-80-h).

Chairs should take special care to prepare the case thoroughly and properly. Significant delays result from improper or inadequate preparation of cases at the departmental level. When a reviewing agency requests additional information, a deadline for submission of those materials will be included in the request. If the materials are not received by the stated deadline the case will proceed through the review process without the materials. Failure to submit requested materials may have an effect on the outcome of the review.

2. Reconsideration: In special circumstances, after a decision is made, the Department Chair may begin the process of review again by requesting reconsideration. *Requests for reconsideration must include important additional evidence or documentation of previously mentioned work pertinent to the review period omitted in the original recommendation, such as a major publication, award, etc., or evidence that the decision was not based on a reasonable evaluation of the case.* Sometimes departments may wish to request reconsideration without such evidence in order to show solidarity with the candidate or for similar reasons. This clogs the whole process. *Such requests should not be submitted.*
3. Non-Reappointment: When it is decided that an Assistant Professor should not be reappointed (given a **terminal appointment**), or when a department recommendation for promotion to tenure may be denied, the Assistant Professor is given due notice, in accord with APM Section 220-20-c. Terminal appointments, whether originated by the department or elsewhere, are always given a full review, including consideration by the Dean, ad hoc committee, and CAP. (See APM Section 220-84.)
4. Formal Appraisal: The APM requires that at a certain point in his/her career each Assistant Professor should be appraised. The purpose of the **appraisal** as stated in the APM is:

to arrive at preliminary assessments of the prospects of candidates for eventual promotion to tenure rank as well as to identify appointees whose records of performance and achievement are below the level of excellence desired for continued membership in the faculty. (Section 220-83.)

This appraisal is normally made during the fourth year of the Assistant Professor's career at the University. When an assistant professor has been appointed at a high step, the department may recommend tenure

without a preliminary appraisal, if the record merits it.

The departmental letter concerning an appraisal should contain:

- a. A description and analysis of the candidate's total performance in each of the four areas of evaluation.
- b. An evaluation of that performance as progress toward eventual tenure.
- c. A clear statement that the recommendation of the department is: (a) "continued candidacy for eventual promotion", (b) "continued candidacy with reservations" (which should be specified), or (c) "terminal appointment". An Appraisal decision should never be interpreted as a *promise* of eventual promotion to tenure.

The appraisal recommendation may be integrated into the letter concerning the merit increase provided that the fact that an appraisal has been made is clearly stated.

After the review is completed, the Associate Vice Chancellor for Academic Personnel will provide redacted copies of the review documents to the candidate.

5. Like a recommendation for advancement, a departmental recommendation for no change in rank, step, or salary must include an evaluation of the case, a summary of the relevant evidence, a summary of departmental views, and a record of the departmental vote.
6. Sometimes a candidate asks not to be reviewed for advancement, i.e., to be granted a **deferral**; Except for Assistant Professors, deferrals are automatic if no case is submitted by the relevant deadline. For Assistant Professors, the Chair should determine whether the candidate's self-evaluation is accurate and should briefly review the available evidence in his/her letter. The request is then forwarded to the Dean. No person at any rank may go more than five years without a formal evaluation. Mandatory reviews may not be deferred.
7. Reviewing Agency Reports: When the candidate signs their safeguard statement, they may request that reviewing agency reports be supplied to them at the close of the case. The reviewer reports will be automatically provided once the case is decided. If the candidate does not make the request at the time the safeguard statement is signed, they may do so at a later date via AP Folio. The candidate will already have been given an oral summary or written copy of the departmental letter and of any confidential materials submitted with the file.

V. CRITERIA

The criteria for promotion and advancement are:

- (1) Research and other Professional Creative Work
- (2) Teaching
- (3) Professional Competence, Activity, and Recognition
- (4) University and Public Service

Superior intellectual attainment, as evidenced both in teaching and in research or other creative achievements, is an indispensable qualification for appointment or promotion to tenure positions. Insistence upon this standard is necessary for maintenance of the quality of the University as an institution dedicated to the discovery and transmission of knowledge. Teaching, research, professional and public service contributions that promote diversity and equal opportunity are to be given due recognition in the evaluation of the candidate's qualifications. An individual may not be arbitrarily disadvantaged if he or she elected to take a childbearing or parental leave, to stop the clock, or to defer a personnel review.

1. Evidence of Research and Creative Work:

Research and creative accomplishments should be evaluated in the context of the faculty member's overall record of

his/her intellectual growth, and of the contribution his/her work makes to his/her discipline. There should be evidence of continued and effective engagement in work of high quality and significance. No appointment or promotion to a tenured position will be made without evidence of intellectual distinction in research or creative activity. The research record should show growth, direction, and promise for the future.

A work once counted for an advancement cannot be counted again (except in highly unusual and demonstrably appropriate circumstances). The departmental letter must present the publication record for the current review period according to the following format: [A] Published work; [B] Work in press; [C] Work submitted; [D] work in progress. "Work in press" means work that has been formally accepted, completed, and is in the process of being published. In-Press work is counted toward advancement and evidence should be supplied documenting the In Press status. "Work submitted" is work that has been submitted but not yet accepted. This work is not usually counted for the advancement, but it is used as evidence of continuing scholarly productivity. "Work in progress" is work that has not been completed and is available for review. Such work is not counted for the advancement, but it can be used as evidence of continuing research activity. Departmental practice will dictate if work in progress is included in the case. If nonstandard terms such as "forthcoming" are also used, the department must define them carefully and state how they relate to the three categories above. *Not doing this may prevent a candidate from receiving proper credit or cause other anomalies in the review process.*

Classifying works is not always easy, but identification should be as precise as possible, and should refer to intellectual content rather than to physical format. For example, in literature and history a "book" may be an extended piece of research reviewed for publication by expert referees; such a work should be distinguished from editions, anthologies, translations, or collections of other scholars' work. An "article" is normally a piece of research published in a refereed scholarly journal; it should be distinguished from popular pieces, preliminary research reports, reports for industrial or governmental agencies, and chapters (i.e., solicited pieces of an interpretative and summarizing nature). Similarly, in many disciplines, a review-article is normally a survey of current research in the field, not a lengthy book-review; while "editions" may be mere reprints with brief introductions, or they may be major works of historical reconstruction and critical interpretation. In different disciplines the standard terms (and the possibilities of ambiguity) are different; but in every case the classification should be as clear and helpful as possible.

It will help reviewing agencies to accurately evaluate the record if departments comment upon the prestige and significance of journals, publishers, or exhibition or performance venues in particular fields, along with other accepted measures or impact in a discipline (such as citation indexes or reviews).

Textbooks, reports, circulars, and similar publications are normally considered evidence of teaching ability or public service. However contributions by faculty members to the professional literature or to the advancement of professional practice or professional education, should be judged creative work when they present new ideas or incorporate original scholarly research. (APM 210.1.d(2)).

In certain fields such as art, architecture, dance, music, literature, and drama, distinguished creativity should receive consideration equivalent to that accorded to distinction attained in research. In evaluating artistic creativity, an attempt should be made to define the candidate's merit in the light of such criteria as originality, scope, richness, and depth of creative expression. An important element of distinction is the extent of regional, national, or international recognition.

The departmental letter must assess the degree and quality of the candidate's role in any collaborative work, or explain why such assessment is impracticable.

2. Evidence of Teaching

According to University policy and the APM, professors at all ranks must have a current teaching record in order to be advanced.

Effective teaching is an essential criterion for advancement or promotion. Clear documentation of ability and diligence in teaching is required.

In judging the effectiveness of a candidate's teaching, the following should be considered: the candidate's command of the subject; continuous growth in the subject field; ability to organize material and to present it with force and logic; capacity to awaken in students an awareness of the relationship of the subject to other fields of knowledge; fostering of student independence and capability to reason; spirit and enthusiasm which vitalize the candidate's learning and teaching; ability to arouse curiosity in beginning students, to encourage high standards, and

to stimulate advanced students to creative work; personal attributes as they affect teaching and students; extent and skill of the candidate's participation in the general guidance, outreach and mentoring, and advising of students; effectiveness in creating an academic environment that is open and encouraging to all students. Attention should also be paid to the variety of demands placed on instructors by the types of teaching called for in various disciplines and at various levels, with proper reference to assigned teaching responsibilities. (APM 210.1.d(1)).

The principle in evaluating teaching is that consistency be applied across the campus in order to facilitate appropriate comparisons. However, to accommodate varying departmental needs, the requirement for consistency in reporting is held to a minimum number of items. Beyond that minimum, departments must determine which aspects of evaluation are the most appropriate for them and then must apply these standards consistently in all personnel cases at all levels.

The information used in assessing teaching must be summarized for each case and should include:

- a. Nominal information tabulating the teaching record of the candidate during the review period, including:
 - i. A listing (by course name and catalog number) of the candidate's teaching load, the academic quarters during which the courses were taught, a class-by-class enumeration of the number of students enrolled, and the number completing the two campus wide student survey items (see section b. i)
 - ii. Enumeration of the M.A. and Ph. D. candidates he/she is supervising or has directed to completion of their degrees, the M.A. and Ph.D. committees on which he/she has served, and other contributions to the graduate program.

This nominal information is summarized using the standardized format contained in the bio-bibliographic form.

- b. Evaluative information assessing the teaching record of the individual during the review period must be presented. In order for the numerical scores on the student evaluation forms to not assume disproportionate weight, departments are urged to include as many other criteria as appropriate.
 - i. *Student respondents*: Systematic surveys of student opinions are essential for all classes taught by the candidate. These evaluations must be part of the record. The departmental letter must compare the candidate's scores with departmental scores for comparable classes. It is understood that it may not be appropriate to conduct student evaluations in very small classes. In cases where evaluations are not available for the majority of classes due to small class size, the departmental letter must indicate the reason surveys were not conducted and an additional, alternate source of teaching evaluation (other than the overall departmental assessment) must be included in the case.

Departments may include whatever questions they like, except that:

All student evaluations *must* include at a minimum the following two standard campus wide survey items: (1) *Please rate the overall quality of the instructor's teaching*; (2) *Please rate the overall quality of the course, including its material or content, independent of the instructor's teaching*.

These evaluations must be part of the record and must be supplied for each course taught. To enable and strengthen comparative ratings on a campus wide basis, all student evaluations based on the two campus wide survey items must use a 1-5 scale with 1 high, with the following description explicitly stated on the form: (1) Excellent; (2) Very Good; (3) Good; (4) Fair; (5) Poor.

Reviewing agencies will return cases to the departments if they do not conform to these guidelines.

- ii. *Departments must also provide other items they judge appropriate for determining the effectiveness of teaching*. APM 210-1 specifies that for promotion to Associate Professor and Professor comments from other faculty members on the candidate's teaching are required.

Suggestions. Open-ended questions asked of graduating seniors, graduate students, or alumni are extremely effective when compiled over time. Graduate student and/or teaching assistant ratings are useful, particularly when these ratings are collected over time and then summarized by a disinterested third party so as to guarantee student anonymity.

Placement of graduate students is one of the best measures of success in graduate teaching.

Peer assessments. On-campus and/or off-campus peer evaluations of the candidate's teaching effectiveness may also be included in the teaching dossier. These assessments may be based on evaluations of syllabi, reading lists, examinations, laboratory reports, class notes, or in-class visitations. If a department chooses such methods, they must be consistently applied at all ranks and steps with regard to principles of academic fairness. No intimidation or chilling effect arising from methodological or ideological postures may be allowed to contaminate the process.

Departmental Perspective: The Department Chair or other agency should assess the overall contributions of the candidate to the departmental curriculum on lower-division, upper-division, and graduate instruction. The department assessment might also evaluate the candidate's contribution to academic advising, thesis and dissertation directorship, committee work relating to the curriculum, "mentoring" colleagues, or frequency of invited lectures given by the candidate.

Self-Evaluation: The department should encourage the candidate to submit a brief self-assessment of teaching effectiveness. This can include past, present, and future goals and objectives and how these were (will be) met. Details may include philosophy of instruction; strategies used; innovative instructional activities; instructional grants; comments about any strengths or deficiencies suggested by students or peers.

The department should send such self-assessments to reviewing agencies along with the case, or explain why such assessment is impractical.

3. Professional Competence and Activity:

Evidence includes such items as a) election to significant offices of professional or learned societies; b) appointment as editor or referee for professional journals or other publications; c) invitations to lecture, present papers, review books, perform or exhibit; d) awards, grants or honors bestowed by organizations or foundations; e) requests for consultative service. Opinions expressed by extramural evaluators, and reviews of the candidate's work or citations of his/her work by other researchers also constitute evidence of professional recognition. Departments should provide background and context for these accomplishments so reviewing agencies can evaluate their significance and importance.

4. University and Public Service:

The bio-bibliographic update should include a list of the candidate's service (with dates) in departmental, Senate, and administrative capacities (including committee service), and of his/her formal service to the community or to public agencies. Evaluation of the quality of his/her service in these areas is important. Recognition should be accorded faculty for able administration of faculty governance; it should also be accorded for able service to the community, state or nation. Contributions to student welfare, mentorship and to affirmative action efforts should be recognized. Periods of service on various committees should be dated.

Note: Non-tenured faculty should be cautioned against undertaking too many committee assignments, since these may interfere with the two main areas for promotion, research and teaching.

VI. CONFIDENTIALITY AND PERSONNEL SAFEGUARDS

Our system of review depends upon impartial professional judgment, and confidentiality has always been essential to the effective functioning of the system. One reason for confidentiality is that it protects impartial judgments from pressures of other interested parties. At UC, confidentiality applies to the votes and analyses of individual department members; to the authorship of extramural letters of evaluation; and to the membership of ad hoc review committees.

Confidentiality, however, is consistent with the rights of candidates to understand the evidence and the criteria upon which they are judged. The details of a candidate's rights in this area are described in APM Sections 160 and 220

and are designed to assure that the use of confidential documents does not cloak abuse.

VII. DEPARTMENTAL VOTING ON PERSONNEL CASES

Departmental voting rights in personnel cases are governed by **SENATE BY-LAW 55** (Santa Barbara Division By Law 240). Substantial differences among departments exist. *Departmental voting plans must be approved by the CAP and be on file in the Office of Academic Personnel.*

VIII. DIVERSITY SELF-ASSESSMENT

The UC system-wide policy regarding the appointment and advancement of its faculty (APM 210.1.d) states: "The University of California is committed to excellence and equity in every facet of its mission. Contributions in all areas of faculty achievement that promote equal opportunity and diversity should be given due recognition in academic personnel process, and they should be evaluated and credited in the same way as other faculty achievements." There is no presumption that all faculty will engage with this opportunity, nor are diversity statements required. If faculty undertake work relevant to APM 210.1.d, it is very helpful to internal and external reviewers to direct their attention to contributions in research/creative activity, teaching, professional activities and service that promote the University's commitment to serving the needs of our increasingly diverse state. As with the teaching self-assessment, the diversity statement is an opportunity to provide context and evidence of impact or effectiveness towards a fuller understanding of those contributions. Simple enumeration of material evident in the file (e.g., lists of activities or students supervised) does not by itself substantially advance the review process in this area. APM 210.1.d-related accomplishments may be cited by reviewing agencies as evidence in making the case for an acceleration, but only if these accomplishments rise above and beyond the normal expectations for the relevant area of review (e.g. research/creative activities, teaching, professional activities and service). Accuracy of the diversity statement is the responsibility of the faculty member, as is the case with the bio-bibliography information generally. The length of diversity statements will depend on the extent and complexity of contributions; an effort should be made to keep the statements succinct.

SECTION II: TEMPORARY TEACHING TITLES

II-1
UNIT 18, Non-Senate Faculty
Lecturer and Supervisor of Teacher Education Series
(Revised 9/18)

I. Definition

These titles are used to designate individuals who are appointed on a temporary or continuing basis to teach courses at any level. This series does not include the titles Lecturer PSOE, Lecturer SOE, Senior Lecturer PSOE and Senior Lecturer SOE. (Red Binder I-56)

Policies and procedures regarding terms and conditions of appointments in these titles which are not included in the Red Binder are contained in the Memorandum of Understanding (MOU) for the Non-Senate Instructional Unit (Unit 18).

II. Ranks and Steps

Lecturer and Senior Lecturer:

Salaries are found on the Unit 18 Academic Standard Table of Pay in the University Salary Scales.

Individuals who have full or shared responsibility for instruction of assigned courses for a specified period of time may be appointed to the title Lecturer. Promotion or appointment to the Senior Lecturer title should be considered for appointees who qualify for the Lecturer title, who provide service of exceptional value to the University.

Supervisor of Teacher Education:

Salaries are found on the Unit 18 Supervisor of Teacher Education pay scale.

This title is used only in the Graduate School of Education, Teacher Education Program

III. Appointment Criteria

Initial appointment to these titles requires demonstrated competence in the individual's field. Initial appointment to the Senior Lecturer title also requires appropriate professional achievement and experience.

IV. Term of Appointment

- A. During the first six years of service, appointments and reappointments to these titles are normally made for terms of one year or less. A year of service is defined as 3 quarters of qualifying Unit 18 service. Qualifying service is service in any Unit 18 title at any positive percentage of time in the same department. Without salary appointments and Summer Session appointments do not count as Unit 18 quarters of service. Requests for one-time credit of service as defined by Article 7A.B.1 must be endorsed by the Department Chair and Dean and required approval by the Associate Vice Chancellor for Academic Personnel.

The employee must be notified in writing of the following: "This is a temporary appointment and any renewal or extension is dependent upon programmatic needs, availability of funding and satisfactory performance. As with any temporary appointment there is no guarantee or obligation on the part of the University for renewal or extension."

The employee must also be informed in writing of specific terms and conditions of the position as outlined in Article 7A C.3. This information will normally be included in the offer letter.

- B. A reappointment which commences after six or more years of service within the same department at UCSB will be a Continuing Appointment (See Red Binder II-8 and II-10).
- C. All assignments must conform to the Workload Statement approved for the Department.

V. Compensation

- A. The source that provides compensation for service under these titles must permit teaching.
- B. During the first 18 quarters of service, individuals appointed as Lecturer or Senior Lecturer are compensated at a rate within the published "Lecturer" range and in accordance with the Unit 18 Academic Standard Table of Pay Rates. Senior Lecturer salaries begin at approximately the rate for Professor, Step I. Determination of rate at initial appointment is based on professional qualifications. Appointees to the Supervisor of Teacher Education title are compensated at a rate from the Supervisor of Teacher Education pay scale.
- C. At the time of appointment to a 10th quarter of service within the same department, a pre-six Lecturer or Supervisor of Teacher Education will be given a six percent salary increase if the individual has not received an equivalent within range salary increase during the prior 9 quarters of service.
- D. An appointee who is reviewed for a Continuing Appointment (an Excellence Review) shall be reviewed for a merit increase in accordance with the guidelines in Red Binder II-10. Subsequent merit reviews will be conducted every three years to be effective July 1. At such time, a Continuing Appointment Lecturer who is found to be excellent will be paid at a rate at or above the minimum indicated on Salary Scale Table 16 and will receive a merit increase of at least six percent at a salary point on Salary Scale Table 17B. A Continuing Supervisor of Teacher Education will receive a merit of at least two-steps if found excellent.
- E. Appointments of a full academic year (three quarters) will be made on a 9/12 basis effective July 1. Appointments for only one or two consecutive quarters are made on a 9/9 basis and are effective October 1 for fall quarter, January 1 for winter quarter and April 1 for spring quarter. If the Lecturer concurrently holds another appointment at UCSB the decision to appoint as 9/12 or 9/9 may be dependent on the basis- paid- over of the other appointment. Departments are encouraged to consult with the College or Academic Personnel Analysts in these situations.
- F. Lecturers may be placed on Short Work Break in accord with Red Binder VI-18.

VI. Reappointment and Advancement

- A. Reappointment that commences prior to completion of six years of service in the same department.

A reappointment to one of these titles requires an assessment of the performance of the individual in accord with the department assessment procedures. Assessments are to be made on the basis of demonstrated competence in the field, demonstrated ability in teaching, academic responsibility, and other assigned duties. Reappointment to the Senior Lecturer title also requires service of exceptional value to the University. See Red Binder II-6 for procedural guidelines.
- B. Appointments and reappointments that commence after six or more years of service in the same department.

See Red Binder II-8 for procedures to be followed with respect to establishing the Continuing Appointment base FTE and Red Binder II-10 for procedures to be followed in the Personnel Review process.

The department must submit annual workload requests for all Continuing Lecturers and Supervisors of Teacher Education to the Dean for approval. The statement must clearly identify any temporary or permanent increases in FTE.
- C. Department Chairpersons have responsibility for administering departmental consideration of personnel actions regarding positions with titles in this series. Departmental evaluations and recommendations regarding appointments and reappointments shall be made pursuant to departmental procedures and in accordance with the Memorandum of Understanding.

VII. Restrictions

- A. Graduate level courses may be taught by appointees to these titles with the approval of the Graduate Council.
- B. Registered UC graduate students may not be appointed to these titles. Degree candidates who are not currently registered may be appointed as lecturer by exception. Such appointment requires prior approval of the Graduate Division.
- C. Recall appointments of a Lecturer or Senior Lecturer may not exceed 43% time, alone or in combination with other recall appointments. Appointments are requested using the [Academic Recall Appointment Form](#). Recall appointments are to be entered into UCPath using the Recall: Teaching title (1700).

VIII. Non-reappointment, Reduction of Time, and Layoff

- A. No notice of non-reappointment is required for appointments that terminate on the scheduled end date when total service is less than six years. Termination prior to the scheduled end date must be in compliance with MOU Article 17 E.
- B. If an individual holding a Continuing Appointment that commenced after six or more years of service in the same department has their workload reduced by up to one course or duties equivalent to one course, 30-day notice is required. If more than one course is eliminated, 60-day notice is required. A twelve-month notice will be given in cases of layoff. If less than a twelve-month notice is given, pay in lieu of notice will be given in accordance with MOU Article 17 F. Any Layoff must comply with the provisions of Article 17 F.

IX. Approval Authority

<u>Action</u>	<u>Authority</u>
Workload	Dean
Appointments for 1 year or less	Dean
Years 1-6, Merits	Dean
Excellence Review	AVC
Promotion to Sr. Lecturer	AVC
Continuing appointment merits	Dean
Recall appointments	Dean

II-6
NSF ASSESSMENT AND MENTORING IN YEARS 1 – 6
(Revised 5/16)

A. Assessment Process

The decision to reappoint or not reappoint a NSF in years one through six shall be preceded by an assessment of the performance of the NSF. The assessment will be undertaken in accordance with the department's applicable review procedures in effect at the time.

1. As soon as possible prior to the initiation of an assessment the NSF shall be notified of the timing of the assessment and the form of assessment that will be followed.
2. Assessments of individual NSF in the unit for consideration of reappointment are to be made on the basis of demonstrated competence in the field, demonstrated ability in teaching, academic responsibility and other assigned duties that may include University co-curricular and community service.
3. The individual being assessed may provide letters of assessment from others including departmental NSF, and other relevant materials to the Department Chair, the Chair's equivalent or other designated official as part of the assessment process.

B. Mentoring Meetings

During the 9th quarter of service in the same department, the Department will provide the each NSF the opportunity to participate in a mentoring meeting. The purpose of the meeting is to provide the NSF with performance feedback. The mentoring meeting process is subject to the provisions of Article 31. The following procedures are to be followed:

1. The Academic Personnel Office will provide the department with a list of NSF eligible for a mentoring meeting during each academic year.
2. The department will notify each eligible NSF at least 30 days in advance of the proposed meeting. If the NSF chooses to decline the mentoring meeting, they must do so in writing.
3. Performance feedback is to be provided orally only, based on materials readily accessible to the Chair, such as: student evaluations, syllabi and other examples of instructional materials, and classroom visits as appropriate. Performance of assigned duties from at least the most recent six quarters is to be considered.
4. The Mentoring Meeting form must be signed by both the Chair and the employee. The form is to be placed in the personnel file, with a copy sent to the Academic Personnel Office.

C. At UCSB, evidence of teaching competence may be demonstrated in a number of ways including:

- ESCI forms (required in all cases)
- Written comments from student evaluations
- Assessment by former students who have achieved notable professional success
- Assessment by other members of the department, or other appropriate faculty members
- Development of new and effective techniques of instruction and materials

- Assessment from classroom visitations by colleagues and evaluators.

Departments may refer to the discussions of evidence in Continuing Appointment merit cases contained in Red Binder II-10 for further information on evaluation of teaching.

II-8
GUIDELINES FOR ESTABLISHMENT OF THE CONTINUING APPOINTMENT BASE FTE
(Revised 5/16)

The consideration of the employment of Unit 18 non-senate faculty (NSF) should be undertaken with a view to the highest possible quality of instruction and the optimal advancement of the curricular and programmatic interests of the department. There should be the underlying presumption that:

1. The teaching function of an academic department or program is to be discharged typically by members of the Academic Senate (ladder faculty and Lecturers with Security of Employment);
2. Teaching needs not met by ladder faculty or LSOE's will be met by Teaching Assistants and Associates as an integral part of their graduate training whenever this is possible and appropriate;
3. NSF will be employed when needs cannot be met as described under 1. and 2. above.

The level of instructional need will normally be at the same level as the need during the year prior to the start of the Continuing Appointment. If, prior to the issuance of the letter approving the Continuing Appointment, the department determines that the initial continuing appointment percentage will be lower than expected, the appointee must be notified, in writing, as soon as practicable.

Instructional need will not exist, or may be reduced, when:

- a) A Ladder faculty member or Lecturer SOE is designated to teach the course(s) during the next academic year.
- b) A Teaching Assistant or Associate is designated to teach the course(s) during the next academic year.
- c) A Visiting Professor or Adjunct Professor is assigned to teach the course(s) during the next academic year.
- d) The assignment of the NSF to teach the course(s) conflicts with established departmental academic program requirements for intellectual diversity

Augmentation of Continuing Appointment base:

Temporary augmentation may be made to the Continuing Appointment if the increase is for a distinct and finite period of one year or less. Temporary augmentations will not be added to the appointee's base percentage on a continuing basis. Temporary augmentations may result from:

- Faculty leaves
- Circumstances which require emergency course coverage
- The need to deliver instruction until newly hired ladder rank faculty are scheduled to begin teaching
- Temporary and/or unanticipated fluctuations in enrollment
- Programmatic change designed to meet the academic mission of the University

Any augmentation not meeting the above definitions will be considered a permanent augmentation to the individual's Continuing Appointment base percentage. Reduction of the Continuing Appointment base may only take place in accord with Article 17, Layoff, reduction in time and Reemployment.

II-10

Excellence Reviews and Subsequent Merit Reviews (Revised 9/18)

The Excellence Review of a Unit 18 member is intended to determine Continuing Status. Both the Excellence Review and subsequent merit reviews are intended to reward those individuals who meet specified standards of excellence. The retention of these candidates beyond the sixth year is a significant academic personnel action and the criteria and guidelines described herein must be carefully followed in the review process.

I. Requirements for Excellence Reviews and Subsequent Merit Reviews

Employment beyond the sixth year (18 quarters) will occur when two conditions are met:

1. As the result of an Excellence Review the individual under consideration is deemed excellent (Article 7B A4), thus conferring Continuing Status, and
2. Need exists in the 19th quarter (Article 7B A.6)

Article 7B E outlines the criteria and evidence to be considered when evaluating all unit members for a Continuing Appointment through an Excellence Review and for subsequent merit increases.

Evaluations of individual non-senate faculty in the unit for consideration of Continuing Appointments are to be made on the basis of demonstrated excellence in the field and in teaching, academic responsibility and other assigned duties that may include University co-curricular and community service. Reappointment to the senior rank requires, in addition, service of exceptional value to the University.

Article 7B E provides for the following measures of instructional performance:

- (1) Command of the subject matter and continued growth in mastering new topics;
- (2) Ability to organize and present course materials;
- (3) Ability to awaken in students an awareness of the importance of the subject matter;
- (4) Ability to arouse curiosity in beginning students and to stimulate advanced students to do creative work; and
- (5) Achievements of students in their field.

II. Evaluation of Performance

It is the department's responsibility to evaluate Continuing Appointment lecturers every three years. Periodic assessment of lecturers, required for any reappointment prior to the sixth year of service, may take on added significance should the individual later be proposed for a Continuing Appointment. Each department, using standards of excellence appropriate to the particular discipline or subject area should develop systematic methods and criteria for discriminating among levels of performance.

The primary criterion for review will be the demonstrated excellence in teaching. Departments must provide well-documented evidence on which the appraisal of teaching competence has been based. If during the course of the review, or at any other time, the Department Chair determines that based on the evaluation criteria there has been a significant decline in the quality of performance by the Continuing Appointee, the procedures outlined in Article 30 of the MOU must be followed.

III. Review Procedure

Excellence reviews and subsequent merit reviews will be conducted by the department in response to the annual call issued by the office of Academic Personnel. Excellence reviews are to be submitted to the Dean's office based on the schedule provided by Academic Personnel so that the campus review process may be completed by the end of the eighteenth quarter of service. Subsequent merit reviews will occur every three years, with effective dates of July 1. Cases are due to the Dean's office by March 31. A Continuing Appointee may request a one year deferral of the review. Such requests must be made via the Department Chair, to the Dean. Future eligibility for review will be based on the new review date. The department should inform the candidate of internal department deadlines and the opportunity to submit materials to be included in the case. 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.

Excellence reviews and subsequent merit reviews will be conducted by a departmental committee composed of academic appointees with sufficient knowledge in the field of expertise of the individual being reviewed. In addition, the department will make reasonable efforts to ensure that a qualified non-senate faculty member be a member of each review committee. All such service will be voluntary. If the review is conducted by an ad hoc committee rather than a standing departmental committee, the individual under review will be consulted concerning the non-senate faculty representation. If it is not practical to form a review committee within a department, the committee will be formed at the college level following established procedures. The eligible Senate faculty within the department will vote on the recommendation and provide additional analysis as appropriate.

IV. Documentation of Performance

It is recognized that there is no single standardized form of evaluation that is appropriate for all disciplines or for all courses within any single discipline, and that the most effective assessment of teaching and field supervision will often come from those familiar with the methods and approaches in teaching and field supervision in a given candidate's area of expertise. The following may be used as a basis for evaluation of excellence in teaching and field supervision:

- ESCI forms (required in all Lecturer cases)
- Field Supervision Evaluation Forms (required for all Supervisor of Teacher Education cases)

In addition, at least one of the following:

- Written comments from student evaluations
- Assessment by former students who have achieved notable professional success
- Assessment by other members of the department, or other appropriate faculty members
- Development of new and effective techniques of instruction/field supervision and materials
- Assessment from classroom visitations by colleagues and evaluators.

The individual under review may also provide:

- A self-statement of teaching
- A list of individuals from whom input may be solicited
- Letters of assessment from individuals with expertise in the field
- Evidence of completion of an Instructional Development Teaching Certificate program
- Other relevant materials to the evaluation file

It is the review committee's responsibility to submit analytical statements concerning the candidate's teaching effectiveness. These must be accompanied by evidence from the categories listed above. The review committee should make explicit the criteria it has used for assessing teaching performance.

V. Extramural Evaluations

For the Excellence Review and for promotion to Senior Lecturer, in addition to the materials listed above, the department must submit five or more letters of recommendation. These letters may be of two types:

1. Letters from extramural referees with knowledge of the candidate's professional status and teaching record including former students and graduates who have achieved notable professional success since leaving the university, reviewers who can comment on the candidate's command of the subject and continuous growth in the subject field, or any appropriate referee with knowledge of the candidate's performance.
2. Letters from UCSB Senate faculty or Continuing Lecturers, external to the department, who have conducted peer review of the candidate's teaching. Peer evaluation may include such things as classroom visits or videotaping, commentary on course syllabi, reading assignments, and examinations. Qualitative descriptions and opinions are preferable to quantitative ratings or comparative rankings in peer evaluation of teaching. Such letters are subject to the same redaction and confidentiality policies as extramural letters.

The candidate must be given the opportunity to suggest the names of persons who could be solicited for letters of evaluation, and also to indicate in writing the names of persons who, in the candidate's view, might not objectively evaluate the candidate's qualifications or performance for reasons set forth (which may include "personal reasons"). The candidate should know that a request to exclude certain potential evaluators will become part of the review file and that such requests are made regularly and should in no way jeopardize the candidate's case. Furthermore, such requests are generally honored unless they interfere with proper evaluation.

The sample solicitation letter and confidentiality statement must be used when soliciting letters of evaluation (Red Binder I-49 and I-50). Additional wording may be added describing the criteria that are relevant in a particular candidate's case. If wording is added or changed, Academic Personnel must be consulted regarding the revised language prior to sending the solicitation letter.

VI. Other Evidence

Evidence of curricular development and renewal should be documented. Critical experimentation with materials and methods for teaching improvement, publication of articles, and presentation of papers at professional meetings or workshops may be submitted as evidence of commitment to excellence in teaching.

Evidence of competence in the field, command of the subject and continuous growth in the field may be demonstrated by the candidate's participation in the discipline itself. In certain fields such as art, music, dance, literature, writing, and drama, distinguished creation should receive consideration. In evaluating artistic creativity an attempt should be made to demonstrate the candidate's merit in the light of such criteria as originality, scope, richness, and depth of creative expression. It should be recognized that in music, drama and dance, distinguished performance in design, conducting, and directing is evidence of a candidate's creativity.

VII. Service

It is expected that a lecturer will participate in activities that involve service to the department and the university. The department should make its expectations clear in this area and should take care to include this information in its review of a candidate. Such data might include records of attendance at departmental and other meetings; department assignments undertaken; accessibility to students (office hour

commitments made and kept, independent studies programs directed, student activities sponsored and advised). Any such activities should be noted and evaluated; any such activities that are assigned as part of the candidate's workload should be subjected to a more rigorous evaluation. While every faculty member is expected to have some activity in this area, it should be recognized that the opportunities for such service will vary from lecturer to lecturer. Exceptionally meritorious service should be carefully documented in preparing the recommendation.

Review of individuals for promotion to the Senior Lecturer rank must demonstrate service of exceptional value to the University. Among such activities are governance. Also included are activities that involve member's professional expertise in a context outside the University's environment. Activities in both these areas should be carefully documented.

VIII. Reviewing Agencies

1. The departmental review committee prepares the letter of recommendation after appropriate review has taken place. The letter of recommendation should accurately describe all review committee views including those of dissenting members. The departmental recommendation is determined by vote of the eligible Senate faculty. The department's recommendation, with accompanying material, is sent to the office of the appropriate Dean.
2. The Dean of the appropriate college makes an analysis and recommendation based on the materials and recommendation submitted by the department. In addition to the departmental case, however, the Dean has access to departmental and Dean's recommendations from previous reviews. The Dean has authority on merit cases. For individuals appointed at the College level the Associate Vice Chancellor for Academic Personnel has authority for the merit review.
3. The Associate Vice Chancellor for Academic Personnel has authority for Excellence reviews and promotions to Sr. Lecturer, and may request review by the Committee on Academic Personnel when he or she determines that such a review is necessary for proper evaluation.
4. The final decision in all merit and Excellence reviews is based on the documentation presented in the departmental file, as well as the recommendations of the Dean and the Committee on Academic Personnel (in those cases where CAP is asked to review).
5. Requests for reconsideration of a final decision will be governed by Red Binder I-10.

II-12
NON-SENATE FACULTY CHECKLIST
FOR YEARS 1-6
(Revised 11/16)

Appointments for Years 1-6 (Lecturers and Supervisor of Teacher Education)
Checklist of Documents Required

Submit the original plus one copy of each document, unless otherwise noted.

I. **Departmental Recommendation: [Lecturer and Supervisor of Teacher Education Appointment and Reappointment form](#)**

- Is the salary rate on the Unit 18 Standard Table?
- Is the monthly salary commensurate with the pay basis (i.e. 9/9 or 9/12)
- Is the annual rate is same as the last or current appointment within the department? If not, is justification for the higher salary included?
- If this is the 10th quarter of service has the salary been increased by six percent if there has not already been a six percent within range increase?
- If this is the 10th quarter of service, did a mentoring meeting take place in the 9th quarter?
- Is the Title code appropriate for the appointment?

	<u>9/9</u>	<u>9/12</u>
Lecturer	1632	1630
Senior Lecturer	1642	1640
Supv. of Teacher Ed	2220	2220

- Is the period of appointment appropriate for the service?

	<u>9/9</u>	<u>9/12</u>
Fall Qtr	10-1 to 12-31	7-1 to 10-31
Winter Qtr	1-1 to 3-31	11-1 to 2-28
Spring Qtr	4-1 to 6-30	3-1 to 6-30

- Does the assignment conform to the Departmental Workload Statement? Is the percent time accurately reflected?
- Is the number of quarters of service to date in Unit 18 titles within the department listed?
- Has Graduate Council approval been obtained for graduate level courses?

II. **UCSB Biography Form**

- If this is the first Unit 18 appointment in the department, is a complete UCSB Biography form included?
- Is the form signed and dated?

III **Teaching Evaluations (*original only*)**

- If this is a reappointment in the same department, are ESCI included?

Other considerations:

1. If a search was conducted, the search report must be approved in UC Recruit before the appointment is submitted. If no search was done, a waiver must have been approved.
2. The Procedural Safeguard Statement is not used for new appointments. However, candidates for appointment, once appointed, do have the right to inspect non-confidential documents in their files and to have a redacted copy of the confidential academic review records contained in the personnel review file received pursuant to APM 220-80-i.
3. When putting forward a case for a non-resident alien (i.e. not currently a US Citizen or a Permanent Resident), the

department is strongly encouraged to consult with the Office of International Students and Scholars at the time the offer is being considered to be assured that labor certificate processing deadlines are met.

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

(Revised 9/18)

All personnel review cases are submitted via AP Folio

I. Departmental review committee letter of recommendation

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

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

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

- Have all letters been coded, on all copies?
- If the letters were sent via email, is a copy of the email and any attachment included?
- Was the proper wording used in the solicitation letter (Red Binder II-10)?
- If different versions of either the letter or the materials went out, is a sample of each included?
- Is a Coded list of referees, along with a brief biography of each included with the case?
- Do the codes on the letters match the codes on the list and the codes used in the departmental letter?
- Does the list clearly indicate if the referees were candidate suggested, department suggested, or independently suggested by both?
- Is a copy of the redacted letters given to the individual included?

III. Complete CV

- Is the CV up to date?

IV. Safeguard Statement.

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

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

V. Evaluation of the teaching record.

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

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

VI. Other Materials submitted by the candidate

- Are all materials identified as candidate submitted?
- Were all materials considered and evaluated as part of the departmental review?

II-16
**LECTURER AND SUPERVISOR OF TEACHER EDUCATION: PROCEDURAL SAFEGUARD
STATEMENT**
(Revised 4/16)

Informational only: all safeguards are to be completed via AP Folio

PRIOR TO DEPARTMENTAL REVIEW:

1. I was informed that I was to be reviewed for this personnel action and of the process as described in MOU Article 7B and Article 22 and I was informed of relevant deadlines for submission of materials.
2. I had the opportunity to ask questions, supply information and evidence, and add material to my file in preparation for the review (Article 7B.F2, F.3, and F.4.)
3. I was informed whether or not letters of evaluation were to be sought as part of this personnel action.
4. If letters were sought
 - A. I had an opportunity to suggest names of evaluators; and
 - B. I had the opportunity to submit, in writing, names of persons who, for reasons set forth by me, might not provide objective evaluations.
5. I was informed whether or not there were confidential documents (i.e. external letters, minority opinion reports) in my department review file and of my right to review a summary of any such documents.

Yes, there are confidential documents in my file (proceed to #6)

No, there are not any confidential documents in my file (proceed to #7)

6. If yes to #5, I was provided the contents of the confidential documents (i.e. external letters, minority opinion reports) in my file by means of:

A. Redacted Copies

C. Chose not to receive contents

B. Oral Summary

7. I had the opportunity to inspect all non-confidential documents in the review file.
8. I had the opportunity to provide a written statement in response to or comment upon all materials in the file.

FOLLOWING THE DEPARTMENTAL REVIEW PROCESS:

9. I was informed of the departmental recommendation and the substance of the evaluation under each of the applicable review criteria by means of:

A. Copy of Departmental Recommendation

B. Oral Summary

C. Chose not to be informed

10. I was informed of my right to make written comments, within five working days, to the Chair (or appropriate person) regarding the departmental recommendation. I was aware that these comments would be included in the file and made available to other voting faculty in the department.
11. I was informed of my right to make written comments regarding the departmental recommendation to the Dean and that these comments would be included in the file and available to other reviewing agencies outside of the Department.

I HAVE SUBMITTED THE FOLLOWING ADDITIONAL MATERIALS:

Suggested names of evaluators (in accordance with 4A above).

Names of persons who might not provide objective evaluations (in accordance with 4B above).

A written statement in response to materials in the file (in accordance with 8 above)

A written statement about the departmental recommendation to the Chair (in accordance with 10 above).

A written statement about the recommendation to the Dean (in accordance with 11 above).

REVIEWING AGENCY REPORTS

I request that copies of reviewing agency reports (Dean, CAP, and any correspondence between them) be provided to me after the conclusion of my review

I do not wish to receive copies of reviewing agency reports (Dean, CAP, and any correspondence between them at the conclusion of my review, but understand that I may request them at any time in the future.

SIGNED _____ DATED _____

PRINT NAME _____ DEPARTMENT _____

II-18
TEACHER-SPECIAL PROGRAMS
(10/10)

I. Definition

The title of Teacher-Special Programs is used for individuals who are teaching non-regular classes to University and non-University students on a part-time by-agreement basis.

Policies and procedures regarding terms and conditions of appointments in these titles which are not included in the Red Binder are contained in the Memorandum of Understanding (MOU) for the Non-Senate Instructional Unit (Unit 18).

II. Appointment Criteria and Conditions of use of title

Appointees to this title may hold other Non-Senate instructional titles (i.e. Lecturer) or other non-senate academic titles or may hold this title alone.

III. Terms of appointment and compensation

Appointments will be made only on a by-agreement basis and will be made only for non-regular classes scheduled for periods of less than one full quarter or in the summer. The title may not be used as a method of paying additional compensation beyond 100% salary. Compensation levels are negotiated based on the experience of the individual, the hours to be worked, and the complexity of the assignment.

V. Approval authority

<u>Action</u>	<u>Authority</u>
All appointments	AVC Academic Personnel

II-24
CONTINUING EDUCATOR
(Revised 4/15)

I. Definition

This series is used for those appointees in University Extension who, as professional educators represent the University in serving the public through planning, coordinating and implementing continuing education programs, classes, conferences, short courses, discussion groups, lectures and media programs. See APM 340 for System Wide policy on Continuing Educators

II. Levels

Appointments may be made at level I, II or III.

III. Appointment Criteria

- A. A candidate for appointment to a position in this series is expected to have the appropriate academic and educational background. Normally the candidate will have received the highest level terminal professional degree in the programmatic area. However, a person with a Bachelor's degree with exceptional experience in one or more professional fields relevant to services may also be appropriate to this series.

Appointees shall be judged in the context of performance in the areas of:

1. Academic planning and curriculum development.
 2. Program administration/management/marketing
 3. Human resource management and development
 4. Professional competence
 5. University and public service.
- B. The appropriate level will be determined by taking into consideration such factors as program scope, program complexity and interface with UC faculty and/or industry sectors. APM 340-10c. provides guidelines for determining appropriate level. In general, the levels are differentiated as follows:
1. Continuing Educator I:
Appointees will have responsibility for programs that are relatively simple in their organization and that may be administered with a small support staff, or where local University or community activities have a limited breadth or a narrow focus. The appointee will typically receive general supervision.
 2. Continuing Educator II:
Appointees will have responsibility for programs of moderate complexity. Duties may include the independent planning and coordination of a program or programs with a moderately-sized support staff or, in a smaller unit, duties that encompass multi-program development.
 3. Continuing Educator III:
Appointees will have extensive independent academic or administrative responsibility, including primary responsibility for the administration, management, and coordination of large complex programs. Appointment at this level requires demonstrated superior professional ability and attainment, evidence of professional achievement and outstanding accomplishment in job-related activities. Appointees will normally report to the Dean of University Extension.
- C. Appointment and reappointment requests should be processed using the checklist at Red Binder II-25.

IV. Term of appointment

- A. Appointments will normally be made for one year at a time but may be made for up to three years. A performance evaluation must take place prior to each reappointment.
- B. No further notice of non-reappointment is necessary for appointments at less than 50% or for appointment of less than eight consecutive years in the same title or series.

Notice of non-reappointment must be given if the employee has served at 50% or more for eight or more consecutive years in the same title or series (APM 137-30). Written Notice of Intent not to reappoint must be given at least 60 days prior to the appointment's specified end date. The notice must state (1) the intended non-reappointment and the proposed effective date; (2) the basis for non-reappointment; and (3) the employee's right to respond within 14 days and the name of the person to whom they should respond. Within 30 days of the Notice of Intent, and after review of any response, the University will issue a written Notice of Action to the employee. Pay in lieu of notice may be given.

V. Advancement

Movement between levels will require significant changes in the scope and complexity of the program being administered.

Merit within the level is not automatic but rather is based on individual qualifications and meritorious performance. A merit review will be conducted at least once every three years. Earlier advancement is possible when supported by the record of performance.

Evaluation of the performance should be based on the criteria listed below, as they apply to the specific position. See APM 340, Appendix A for further detail of the various criteria:

1. Academic Planning and Curriculum Development
2. Program Administration/Management/Marketing
3. Human Resource Management and Development
4. Professional Competence and Growth
5. University and Public Service

Merit requests should be prepared using the checklist on Red Binder II-25.

When processing appointments or promotions it is not appropriate in this series to solicit comments from outside evaluators as is the practice with Ladder Faculty, Researchers or Specialists. Rather, opinions from individuals at other institutions where the nominee has been employed and/or from other qualified persons having first-hand knowledge of the nominee's attainments should be included. Opinions from faculty members or other similarly qualified professionals are important in the case of proposed appointments to Rank III or above.

When soliciting extramural letters for appointment or promotion, the procedures found in Red Binder I-46, Extramural Evaluators, should be followed with wording modified as appropriate for this series.

Along with copies of any publications a representative sampling of Extension programs developed by the candidate between the prior and current review should be included with a case for advancement. This sampling should include information on attendance, representative evaluations by students (if available), and a statement written by the Dean evaluating the programs.

VII. Approval Authority

Action

Authority

All actions

AVC for Academic Personnel

II-25
DOCUMENTS TO BE SUBMITTED BY THE CHAIR
CONTINUING EDUCATORS
(Revised 11/16)

APPOINTMENTS

- I. **Departmental letter of recommendation**
Accurate and analytical letters of recommendation from the department are essential in the review process. See Red Binder I-35 for further detail of content of departmental recommendations:
- Are the dates of the appointment and the level of the appointment clearly stated?
 - Is the recommended salary on the published salary scale?
 - Is the JPF# from UC Recruit included?
- II. **Complete CV and UCSB Academic biography form**
- Is the CV up to date?
 - Is the UCSB Academic biography form complete, signed and dated?
- III. **Job Description**
- Does the job description address program scope and complexity, degree of independence, level of professional accomplishment required and scope of impact on the campus mission?
- IV. **Letters of evaluation** and list of evaluators
- Letters**
- Have all letters been coded?
 - If the letters were sent via email, is a copy of the email and any attachment included?
- Sample Solicitation Letter(s) and/or Thank you letter(s) for unsolicited letters**
- Was the proper wording used in the letter (RB I-49 to I-50)?
 - Is a list of all informational items sent to referees (e.g. CV, bio-bib, publications sent, etc, per RB I-46-VI) included? Is a copy of each item included as either part of the case or a one-of-a-kind item?
 - If different versions of the letters or materials went out, is a sample of each included?
- List of Referees, including brief Biography and indicating who selected referees**
- Do the codes on the letters match the codes on the list and the codes used in the departmental letter?
- V. **Copies of other supportive documentation**
- Has a representative sampling of supporting documentation been submitted?

Other considerations:

1. If a search was conducted, the search report must be approved in UC Recruit before the appointment is submitted. If no search was done, a waiver must have been approved.
2. The Procedural Safeguard Statement is not used for new appointments. However, candidates for appointment, once appointed, do have the right to inspect non-confidential documents in their files and to have a redacted copy of the confidential academic review records contained in the personnel review file received pursuant to APM 220-80-i.

REAPPOINTMENTS

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

- Are the dates of the appointment and the level of the appointment clearly stated?
- Is the recommended salary on the published salary scale?

II. **Job Description**

- Is an updated job description included if there have been changes since the last review?
- If there have not been changes in the job description, does the departmental letter state that fact?

MERITS

I. **Departmental letter of recommendation**

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

- Is the letter signed and dated?
- Is the letter an accurate, extensive, and **analytical** representation of the case?
- If there is a recommendation for an acceleration, are the reasons for the acceleration specifically stated?
- In the case of a negative departmental recommendation, is the basis of the recommendation clearly documented?

II. **Updated CV or Bio-bib**

- Is the CV up to date?
- Is the Bio-Bib in the proper format?
- Is the Research section a **cumulative** list of publications (or creative activities) with a line drawn separating all new items from where the bio-bib from the last review case had ended?
- Are the numbers the same as in the previously submitted bio-bib, and have items previously listed as “In Press”, “Submitted” been accounted for?
- Are all items, including “In Press”, “Submitted”, and “In Progress” properly numbered?
- If sections other than Research are cumulative, are lines drawn showing what is new since the last successful review?

III. **Job Description**

- Is an updated job description included if there have been changes since the last review?
- If there have not been changes in the job description, does the departmental letter state that fact?

IV. **Safeguard Statement (RB III-5).**

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

- Is it signed and dated?
- If there are no confidential documents (e.g. external letters, minority opinion report), box **6.D.** should be checked.
- Are copies of everything the candidate has provided, or been provided, included with the case (e.g. redacted letters, list of potential evaluators)?

IV. **Copies of supportive documentation**

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

II-28
VISITING PROFESSOR
(Revised 9/18)

I. Definition

The Visiting prefix is used to designate one who:

1. Is appointed temporarily to perform the duties of the title to which the prefix is attached; and
2. Either has held, is on leave from, or is retired from an academic or research position at another educational institution; or whose research, creative activities or professional achievement makes a visiting appointment appropriate.
3. Fits both of the above criteria and is appointed through Summer Session. Summer Session Visiting appointments are covered by separate policies and procedures (Office of Summer Sessions Summer Visiting Faculty Appointment and Review Policies and Procedures, June 12, 2001)

See APM 230 for System-wide policy on Visiting titles.

II. Appointment Criteria

A Visiting Professor who is on leave or retired from another institution, will normally be appointed at the same rank and step as the individual's title at the home educational institution.

The criteria for evaluation shall be the same as for the corresponding regular title. Because the appointment is temporary, reasonable flexibility may be employed in the application of these criteria. Care should be taken to inform the appointee of the provisions of IV below.

Appointment of an individual who has never held a comparable academic or research position elsewhere is subject to CAP review and the approval of the Associate Vice Chancellor for Academic Personnel. Such appointment requests must meet the following criteria:

1. The appointee will have formal teaching responsibilities and will make identifiable contributions to the department through research and service.
2. Appointment as Visiting Associate Professor or Visiting Professor will require proof of professional achievements equivalent to those of UCSB faculty of the same ranks.
3. Appointments as Visiting Assistant Professor may be recommended for special fellowship programs for recent Ph.D.'s, such as the Mathematics Visiting Assistant Professor program or other national, UC, or local fellowship programs. Appointments also may be recommended to cover short-term faculty vacancies, such as those caused by retirements, leaves of absence, or temporary faculty administrative assignments. The appointee in such cases must participate in the research mission of the department and typically will contribute to the graduate program through teaching or related activities.

Appointment of an individual who does not either 1) currently hold a comparable academic or research position or 2) is retired from a comparable academic or research position will require an open search.

III. Term of Appointment

Each appointment or reappointment with a Visiting prefix shall not exceed one year. The total period of consecutive service shall not exceed two years.

In the case of Visiting Assistant Professor Programs in Mathematics or similar disciplines where curriculum-driven justification supports the need, the total period of consecutive service may be extended to three years.

If the appointee is later considered for transfer to a corresponding appointment in the regular series, the

proposal for such transfer shall be treated as a new appointment subject to full customary review.

IV. Compensation

The salary for a visiting position is negotiated. While the salary does not have to be on-scale on the corresponding regular series scale, the salary may not be below the minimum rate for the rank. For example, a Visiting Professor may not be paid below the Professor Step I rate. Because these salaries are negotiated on an individual basis, they are not subject to range adjustments. For travel expense reimbursement, see APM 230-20h.

Visiting appointments may also be made without salary.

V. Appointment process

Requests for appointment in the Visiting Professor series must include a Departmental letter of recommendation, a UCSB Biography form and either a CV or Bio-bibliography. The Departmental letter must indicate the courses to be taught, the pay rate, the term of the appointment and information concerning the individual's current academic appointment. The JPF# from UCRecruit should also be included if a search was conducted.

For reappointment as a Visiting Professor, evaluation of past teaching is also necessary. ESCI scores and, if possible, student comments should be included with the request.

VI. Restrictions

1. An appointee with a visiting title is not a member of the Academic Senate.
2. Sabbatical leave credit may be accrued if the visiting position is immediately followed by employment as a faculty member in the regular ladder series (APM 740-11b).
3. Neither tenure nor security of employment is acquired, although eligible service with certain visiting titles is credited under the University's eight-year limit (APM 133).

VII. Approval Authority

Action

Authority

Appointments up to 6 quarters
Beyond 6 quarters

Dean
Associate Vice Chancellor

Appointments with no prior
comparable academic appointment:
 Initial appointment
 Reappointment up to 6 quarters
 Beyond 6 quarters

Associate Vice Chancellor
Dean
Associate Vice Chancellor

II-31
SHORT TERM TEACHING
(Revised 9/18)

Departments may occasionally have need for a short-term, less than one full quarter, teaching appointment. Depending on the nature of the assignment, various types of appointments may be appropriate.

Guest Lecturers not employed by UC

Guest Lecturers may not be the instructor of record, and are limited to service of 2 weeks or less. Guest Lecturers who are not otherwise employed by UC may be compensated for travel and living expenses through an honorarium paid from the department's supplies and expense budget. The honorarium request is processed via a Form 5 through the Accounts Payable office. Guest Lecturers are not entered into UCPATH. The Department Chair or P.I. may sign for honoraria of \$2,000 or less; honoraria of up to \$4,000 must be approved by the appropriate Dean or Vice Chancellor. Honoraria exceeding \$4,000 are approved by the Executive Vice Chancellor or Chancellor. Supporting documentation should include a curriculum vita and a statement of purpose.

Foreign visitors must have the proper visa if any form of financial payment is to be made to them. A J1, HI and FI visa, issued by this campus, will allow payment of payroll and non-payroll expenses. A B1 will allow the payment of travel and subsistence only (i.e., university per diem rate and airfare expenses). A B2 will not allow reimbursement or payment of any kind. Questions regarding these matters should be directed to the Office of International Students and Scholars.

Guest Lecturers from another UC campus

For payment to a UC faculty for visits of two weeks or less, see Red Binder VI-15, one-time payments.

Guest Lectures or other short term teaching by current UCSB employees

Employees currently working at UCSB at less than 100% may take on additional teaching responsibilities, subject to appropriate approval, as long as the total employment does not exceed 100% time. For employees already employed at 100%, or in cases where the additional assignment would cause total employment to exceed 100%, departments are strongly urged to contact Academic Personnel prior to making a commitment or having the individual provide services. In cases where the employee holds a full time staff position, Human Resources must also be consulted. Employment beyond 100% will only be approved in rare and unusual circumstances. Individuals approved for appointment as a guest lecturer or other short term teaching, such as emergency partial quarter replacements, will be appointed in an appropriate teaching title using the TST earn code. Use of the TST earn code will require approval of the Associate Vice Chancellor for Academic Personnel regardless of appointment title.

II-33
WITHOUT SALARY TEACHING APPOINTMENTS
(Revised 9/18)

In order to serve as the instructor of record for a course that provides campus credit, or to formally advise graduate students, it is necessary to be appointed to a faculty title. In general, an individual who will perform these duties should be paid under the appropriate title as outlined in Red Binder section II. There are rare situations where use of a without salary teaching title may be appropriate. The without salary teaching title will normally be as either an Educator without Salary (title code 1675) or the Adjunct Professor series without salary (Red Binder V-17), dependent upon the qualifications of the individual and the range of duties to be performed.

- A. Individuals holding non-Senate academic research titles (e.g. Professional Researcher, Project Scientist) may be appointed to a without salary teaching title to teach classes that are directly related to the individual's research program and/or to serve as advisors to students. Note that effort reporting implications for researchers paid from external sources must be taken into consideration.
- B. Individuals holding non-research academic titles (e.g. Academic Coordinator) or staff titles (e.g. Environmental Health & Safety Officer) may be appointed to a without salary teaching title when 1) the class being taught is related to the individual's regular job duties and 2) the individual would suffer a loss in pay if time in the regular position were reduced and replaced with a paid teaching title appointment.
- C. In addition, there are occasional situations when an individual not otherwise employed by the University offers to teach a course without salary. In such cases it must be clearly documented that the individual is volunteering to teach without salary. Departments are encouraged to consult with their Dean's office or Academic Personnel prior to initiating without salary teaching agreements.

Requests for appointment in the Adjunct Professor series without salary must be requested in accord with Red Binder V-17, IV. To request appointment as Educator without Salary the following documents must be submitted to Academic Personnel, via the Dean's office:

- Current CV
- UCSB Biography form
- Departmental recommendation letter that includes a summary of the candidate's qualifications, the teaching that will take place, and the justification for the use of the Educator without Salary title

SECTION III: TEMPORARY RESEARCH TITLES

III-1
TEMPORARY RESEARCH APPOINTMENTS
General Information
(Revised 9/18)

Titles in this section are to be used for individuals involved in research and do not have formal teaching responsibilities. Questions concerning the use of staff titles for individuals involved in research should be directed to Human Resources.

Policies

The campus policies for Discipline and Dismissal (Red Binder IX-20), Non-Senate Academic Grievances (Red Binder IX-25), and Layoff and Involuntary Reduction in Time (Red Binder IX-30) are applicable to appointees in this section.

The campus policy and procedures for affirmative action are set forth in Red Binder Section VII.

Deadlines for submission of merit/promotion requests

All merits and promotions for individuals in the Professional Research, Specialist, and Project Scientist series will be effective July 1.

Requests for advancement must be submitted according to the following schedule:

<u>Series</u>	<u>Submit to:</u>	<u>Due Date</u>
Professional Research		
Academic Departments	Dean's Office	March 1
ORUs	Academic Personnel	March 1
Project Scientist, Specialist	Academic Personnel	April 1

Service limitations

For all series, six months or more of service, with or without salary, in any fiscal year counts as one full year of service for advancement eligibility purposes.

Appointments or reappointments in the Project Scientist and Specialist, series are normally made for one year at a time, but for certain titles may be longer. See specific Red Binder sections for limitations for each title.

Appointments and reappointments in the Professional Research series may be made for up to two years at a time at the Assistant and Associate level and up to three years at a time at the Researcher level if guaranteed funding is available.

All employees must be informed of the following in writing: "This is a temporary appointment and any renewal or extension is dependent upon programmatic needs, availability of funding and satisfactory performance. As with any temporary appointment there is no guarantee or obligation on the part of the University for renewal or extension."

Appointees in research series may be placed on Short Work Break in accord with Red Binder VI-18.

No further notice of non-reappointment is necessary for appointments at less than 50% for any period of time, or for appointment of less than eight consecutive years in the same title or series.

Notice of non-reappointment must be given if the employee has served at 50% or more for eight or more consecutive years in the same title or series (APM 137-30). Written Notice of Intent not to reappoint must be given at least 60 days prior to the appointment's specified end date. The notice must state (1) the intended non-reappointment and the proposed effective date; (2) the basis for non-reappointment; and (3) the employees right to respond within 14 days and the name of the person to whom they should respond. Within 30 days of the Notice of Intent, and after review of any response, the University will issue a written Notice of Action to the employee. Pay in lieu of notice may be given.

Recall appointments in any temporary research title may not exceed 43% time, alone or in combination with other recall appointments. Appointments are requested using the [Academic Recall Appointment Form](#). Recall appointments are to be entered into UCPATH using the Recall Non-Faculty Academic title (3802 or 3812).

Titles not specifically discussed in the Red Binder may not be used without prior approval by the Academic Personnel Office and will be subject to campus practice and APM policy.

III-5
PROCEDURAL SAFEGUARD STATEMENT
TEMPORARY ACADEMIC TITLES-
(Revised 4/15)

Informational only: all safeguards are to be completed via AP Folio

PRIOR TO DEPARTMENTAL REVIEW:

1. I was informed that I was to be reviewed for this personnel action and of the process as described in APM 160, 310, 311, 330, 340 and 375 as appropriate.
2. I had the opportunity to ask questions, supply information and evidence, and add material to my file in preparation for the review.
3. I was informed whether or not letters of evaluation were to be sought as part of this personnel action.
4. If letters were sought (e.g., for promotion)
 - A. I had an opportunity to suggest names of evaluators; and
 - B. I had the opportunity to submit, in writing, names of persons who, for reasons set forth by me, might not provide objective evaluations.
5. I was informed whether or not there were confidential documents (i.e. external letters, minority opinion reports) in my department review file and of my right to review a summary of any such documents.

Yes, there are confidential documents in my file (proceed to #6)

No, there are not any confidential documents in my file (proceed to #7)

6. If yes to #5, I was provided the contents of the confidential documents (i.e. external letters, minority opinion reports) in my file by means of:

A. Redacted copy

C. Chose not to receive contents

B. Oral Summary

7. I had the opportunity to inspect all non-confidential documents in the review file.
8. I had the opportunity to provide a written statement in response to or comment upon all materials in the file.

FOLLOWING THE DEPARTMENTAL REVIEW PROCESS:

9. I was informed of the departmental recommendation and the substance of the evaluation under each of the applicable review criteria by means of:

A. Copy of the departmental recommendation

B. Oral Summary

C. Chose not to be informed

10. I was informed whether or not the department vote for the recommendation was unanimous or by a strong or a narrow majority.
11. I was informed of my right to make written comments, within five working days, to the Chair (or appropriate person) regarding the departmental recommendation. I was aware that these comments would be included in the file and made available to other voting faculty in the department.
12. I was informed of my right to make written comments regarding the departmental recommendation to the dean and that these comments would be included in the file and available to other reviewing agencies outside of the Department

I HAVE SUBMITTED THE FOLLOWING ADDITIONAL MATERIALS:

Suggested names of evaluators (in accordance with 4A above).

Names of persons who might not provide objective evaluations (in accordance with 4B above).

A written statement in response to materials in the file (in accordance with 8 above).

A written statement about the departmental recommendation to the Chair (in accordance with 11 above).

A written statement about the recommendation to the dean (in accordance with 12 above)

REVIEWING AGENCY REPORTS

I request that copies of reviewing agency reports (Dean, Vice Chancellor for Research, and any correspondence between them) be provided to me after the conclusion of my review.

I do not wish to receive copies of reviewing agency reports (Dean, Vice Chancellor for Research and any correspondence between them) at the conclusion of my review, but understand that I may request them at any time in the future.

SIGNED _____ DATED _____

PRINT NAME _____ DEPARTMENT _____

III-7
DOCUMENTS TO BE SUBMITTED BY THE CHAIR
RESEARCH APPOINTMENTS
(Revised 9/18)

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) 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 (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 (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?

Other considerations:

1. If a search was conducted, the search report must be approved in UC Recruit before the appointment is submitted. If no search was done, a waiver must have been approved.
2. The Procedural Safeguard Statement is not used for new appointments. However, candidates for appointment, once appointed, do have the right to inspect non-confidential documents in their files and to have a redacted copy of the confidential academic review records contained in the personnel review file received pursuant to APM 220-80-i.
3. When putting forward a case for a non-resident alien (i.e. not currently a US Citizen or a Permanent Resident), the department is strongly encouraged to consult with the Office of International Students and Scholars at the time the offer is being considered to be assured that labor certificate processing deadlines are met.

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

On-time merit advancement

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

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

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

Other reviews

I. Accelerated actions

Departments should not hesitate to propose accelerated advancement to reward cases of superior performance. Early advancement to the next step or rank is the appropriate form of acceleration. The addition of, or an increase in, off-scale supplement will also be considered an acceleration. Departments should review candidates performing at a superior level in advance of their normal eligibility for merit increase or promotion.

II. Decelerated actions

A case will be considered decelerated if the candidate has been at the current step for longer than the normal years at step. The departmental letter should give an explanation for the deceleration.

III. Promotion to the Associate level

Professional Research Series:

The principal criterion for promotion to Associate Researcher is superior intellectual attainment in research or other creative achievement. The most useful critical assessment of "superior intellectual attainment" must come primarily from those who are established figures in the field, primarily from colleagues in the department as well as faculty in comparable departments and programs nationally and internationally. (In this connection, departments may wish to provide an operational interpretation of the phrase "superior intellectual attainment" which they consider appropriate to the particular discipline or subject-area). Candid, thorough, documented and concise assessment on this level is clearly essential if reviewing agencies are to perform their proper analytical and evaluative task. Furthermore, it is essential that a candidate's performance be measured by the highest standards of excellence that are currently recognized by a given intellectual discipline or subject-area. The level of research independence expected for promotion to Associate Researcher is equivalent to the expectation of research independence for a ladder faculty member being promoted to Associate Professor. Promotion to Associate Researcher will normally take place at the beginning of the seventh year of service and must occur no later than the end of the eighth year of service.

Project Scientist and Specialist Series:

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

IV. Promotion to Full

Professional Research Series:

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

Project Scientist and Specialist Series:

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

- V. **Merit to a special step.**
Assistant Researcher V, Associate Researcher IV, Assistant Project Scientist V and Associate Project Scientist IV are "special" steps in the sense that these steps may be utilized for advancement when a candidate shows clear evidence of completed work that is likely to lead to promotion in the near future when published, but whose established record of accomplishment has not yet attained sufficient strength to warrant promotion. Service at the special steps is in lieu of service at the first step of the next rank. Once advanced to a special step, the normal progression is for promotion to the next rank. Further advancement within the special step will happen only in very rare and unusual circumstances. Upon advancement to a special step, the candidate is eligible for promotion the following year. If promoted earlier than the normal years at step for Step I of the higher rank, promotion should be lateral and eligibility for future merit will be determined based on the combination of years at the special step and years at Step I at the higher rank.
- VI. **Merit to or within Above Scale**
Advancement to Above Scale is reserved for scholars of the highest distinction whose work has received international recognition. Advancement to Above Scale will normally occur after at least four years of service at the highest step within the full level rank of the series with the individual's complete academic career being reviewed. The guidelines for Senate Faculty increase to and above Scale (Red Binder I-43) apply to Researcher above scale actions. Criteria for Above Scale advancements for Project Scientists and Specialists shall be consistent with the criteria established for each series.
- VII. **Mandatory reviews**
Appointees at all levels must undergo a performance review at least once every five years. This review may not be deferred. Non-submission of materials by the candidate will not constitute automatic deferral in the case of a mandatory review. If the appointee does not turn in materials by the departmental due date, the department will conduct the review based on the materials available in the department as of the due date.

Professional Research Series only:

- VIII. **Terminal Appointments**
If, during a review of an Assistant Researcher, a preliminary decision is made for a terminal appointment, the procedures outlined in Red Binder I-39 must be followed. Appropriate notification and opportunity for response must be provided.
- IX. **Merit to Researcher VI**
Advancement to Researcher VI is based on evidence of highly distinguished scholarship. In addition, great distinction, recognized nationally or internationally in scholarly or creative achievement is required for merit to Researcher VI. This is a career review and therefore is based on a review of the individual's entire academic career.

III-9
DOCUMENTS TO BE SUBMITTED BY THE CHAIR
RESEARCH REVIEWS
(Revised 9/18)

All personnel review cases are submitted via AP Folio.

I. Departmental letter of recommendation

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

For All Cases:

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

For Career Reviews:

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

II. Chair's Separate Confidential Letter (optional)

See Red Binder I-35 for further information.

- Is the letter clearly marked "Chair's Separate Confidential"?

III. Safeguard Statement

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

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

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

- Is it in the proper format? (See Red Binder I-27)
- Is the Research section a **cumulative** list of publications (or creative activities) with a line drawn separating all new items from where the bio-bib from the last review case had ended?
- Are the numbers the same as in the previously submitted bio-bib, and have items previously listed as "In Press", "Submitted" been accounted for?
- Are all items, including "In Press", "Submitted", and "In Progress" properly numbered?
- Are publications identified as "refereed" when appropriate?
- If sections other than Research are cumulative, are lines drawn showing what is new since the last successful review?
- If publications are being submitted via electronic links, are the links current and direct to the specific item?

V. **Extramural letters of evaluation and list of evaluators (RB I-46)**

Extramural Letters

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

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

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

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

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

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

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

VII. **Copies of publications.**

It is the responsibility of each candidate to maintain copies of published research or other creative work and reviews. One set of publications for the review period should be forwarded with the case. Publications submitted with the case, along with other single copy items, will be returned to the department upon completion of the review.

- Have all items included in Part I of the bio-bib for the current review period been submitted, including In Press and Submitted items?
- Has appropriate evidence been provided for In Press items?
- Do all of the titles on the actual publications match those listed on the bio-bib?
- For promotion to the Associate level, are all publications included?
- If publications are being included via a link in the bio-bib, has the link been verified?
- If any publications are missing from the file, is a note included noting which are missing and explaining why?
- For other career reviews (promotion to Full in any series, advancement to Researcher Step VI or Above Scale), are all publications since last review, and all or a representative sample of publications from the prior record included?

III-12
PROFESSIONAL RESEARCH SERIES
(Revised 1/18)

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.

II. Ranks and Steps

- A. Assistant Research _____II – V (Steps V is considered a “special step”)
- B. Associate Research _____I – IV (Step IV is considered a “special step”)
- C. Research _____I –IX

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

III. Appointment and Advancement Criteria

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

- A. Research qualifications and accomplishments equivalent to those for the Professor series, including demonstrated continuous and effective engagement in independent and creative activity of high quality and significance.
- B. Professional competence and activity equivalent to those for the Professor series.
- C. University and/or public service at the Associate Researcher and Researcher ranks.

An individual who currently holds a Research series appointment at UCSB and participates in research activities in a department or program in which he/she does 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 may be for up to two years at a time at the Assistant Researcher and Associate Researcher level and for up to three years at a time at the Researcher level if guaranteed

funding is available.

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 scale will be used when either:
1. The unit is an Engineering unit (departments and research units reporting to the Dean of Engineering) or the Department of Economics
or:
 2. The unit is multi or interdisciplinary and includes both engineering or economics and other disciplinary activity (for example: CNSI, ICB, MATP). In this case two additional criteria must be met: a) The individual's background and training is in engineering or economics, and b) The project with which the individual is associated is an engineering or economics project.

When option #2 is used, the justification for use of the Engineering scale must be clearly stated in the departmental appointment recommendation.

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 while awaiting funding. 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.

- B. Salaries are subject to range adjustment.
- C. Each source which provides compensation for service in this series must permit research.
- D. 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. The timing of the reappointment will be based on the original start date of the appointment and/or the availability of funding.

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.

Deferral will be automatic if a Researcher does not submit material by the departmental due date and no case is forwarded by the department, with the exception of mandatory reviews.

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

In cases where the final decision is a lesser advancement than recommended by the department, a reconsideration may be requested. Procedures outlined in Red Binder I-10 must be followed.

Chair/Director Letters of Recommendation

The Chair/Director's letter of recommendation for appointment or advancement should include an evaluation of the candidate's record in all review areas (see III Appointment and Advancement criteria, above). The evaluation is expected to meet the standards set forth in APM 310 which prescribes that candidates for appointment or advancement in the Research series have research qualifications equivalent to those of the corresponding ladder faculty rank. Each unit should establish set procedures for evaluation of Research appointments and advancements and development of the letter of recommendation. While a full review completed by a departmental committee knowledgeable of the candidate's field is preferred, in cases where this is not appropriate, a review done solely by the Chair, Director or P.I. is acceptable. If a committee is not formed, an explanation should be provided in the letter of recommendation. Red Binder I-35 provides additional guidance on developing the letter of recommendation.

Bio-Bibliography

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

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, merit to Researcher, Step VI and merit to Researcher Above Scale. A minimum of 4 letters must be included at the Associate level, a minimum of 6 at the Full Researcher level. In addition to the foregoing, recommendations for promotion or advancement to Researcher, Step VI must include at least 6 extramural evaluations from references. At least half of the letters submitted with the case should come from references chosen by the Department or Program independent of the candidate. Letters from faculty or researchers at other UC campuses are essential for appointment/ advancement to Research VI, preferably from individuals already at the senior ranks. 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.

For promotion or appointment to Associate Researcher, the following wording should be inserted as appropriate:

_____ is being considered for (an appointment/promotion to) Associate Researcher in the (department/unit). Appointment (or promotion) to Associate Researcher within the UC system requires a research record equivalent to that of an Associate Professor. Superior intellectual attainment in research is an indispensable qualification for appointment or promotion to Associate Researcher. [Sample wording for evaluation request: e.g., I would greatly appreciate your evaluation of _____'s work.]

For promotion or appointment to full Researcher, the following wording should be inserted as appropriate:

_____ is being considered for (an appointment/promotion to) Researcher in the (department/unit). Appointment (or promotion) to Researcher within the UC system requires a research record equivalent to that of a Professor. A candidate for this position is expected to have an accomplished record of research that is judged to be excellent by his or her peers within the larger discipline or field. [Sample wording for evaluation request: e.g., I would greatly appreciate your evaluation of _____'s work]

For a merit advancement to Researcher, Step VI or appointment at Step VI or above, the following wording should be inserted as appropriate:

_____ is being considered for advancement 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. Advancement to 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.]

VII. Approval Authority

Action

All actions

Authority

Associate Vice Chancellor for Academic Personnel

III-14
PROJECT SCIENTIST SERIES
(Revised 1/18)

I. Definition

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

II. Ranks and Steps

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

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

III. Appointment and Advancement Criteria

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

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

University and public service are encouraged but not required.

IV. Term of Appointment

- A. Appointments or reappointments may be for up to two years at a time at the Assistant Project Scientist and Associate Project Scientist level and for up to three years at a time at the Project Scientist level if guaranteed funding is available.
- B. There are no limits on service at any level in this series.

V. Compensation

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

- 1. The unit is an Engineering unit (departments and research units reporting to the Dean of Engineering) or the Department of Economics

or:

2. The unit is multi or interdisciplinary and includes both engineering or economics and other disciplinary activity (for example: CNSI, ICB, MATP). In this case two additional criteria must be met: a) The individual's background and training is in engineering or economics, and b) The project with which the individual is associated is an engineering or economics project.

When option #2 is used, the justification for use of the Engineering scale must be clearly stated in the departmental appointment recommendation

In most cases, a Project Scientist appointment will be a salaried position. Without salary status may be appropriate for short periods of time, for example if the Project Scientist is self-funded as a PI or co-PI. A without salary appointment is not appropriate if the individual holds a primary affiliation with and is funded by another academic institution or outside agency.

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

VI. Requests for Appointment and Advancement

Appointment

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

Reappointment

Reappointments are to be submitted via the reappointment and modification module of AP Folio. The timing of the reappointment will be based on the original start date of the appointment and/or the availability of funding.

Advancement: Merit and Promotion

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

All merits and promotions will be effective July 1. Completed cases must be submitted to the Academic Personnel Office by **April 1**, preceding the effective date. Cases received after the due date will be returned to the Department and will not be processed. A missed deadline may not be used as justification for retroactivity in a future review. Deferral will be automatic if a Project Scientist does not submit material by the departmental due date and no case is forwarded by the department.

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

Chair/Director Letters of Recommendation

The Chair/Director's letter of recommendation for appointment or advancement should include an evaluation of the candidate's record in all review areas (see III Appointment and Advancement Criteria,

above). Each unit should establish set procedures for evaluation of Project Scientist appointments and advancements and development of the letter of recommendation. While review done solely by the Director or PI is acceptable at the Assistant Project Scientist level, a fuller review, including input from other equal or higher ranking individuals in the unit is preferable for Associate Project Scientist and Project Scientist level actions. Red Binder I-35 provides additional guidance on developing the letter of recommendation.

Bio-Bibliography

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

External Evaluation

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

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

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

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

VII. Approval Authority

Action

All actions

Authority

Associate Vice Chancellor for Academic Personnel

III-16
SPECIALIST SERIES
(Revised 1/18)

I. Definition

The Specialist series is used for academic appointees who engage in specialized research, professional activity, and University and/or public service, and who do not have any teaching responsibilities. See APM 330 for System Wide policy on Specialists.

II. Ranks and Steps

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

III. Appointment and Advancement Criteria

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

The following qualifications are general guidelines for each rank:

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

Assistant Specialist: Appointees should possess a master's degree (or equivalent degree) or have five years of experience demonstrating expertise in the relevant specialization. Appointees at this level enable research as part of a team and may provide some independent input into the planning and execution of the research.

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

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

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

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

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

IV. Term of Appointment

- A. There are no limits on service at any level in this series.
- B. Appointments may be made for up to one year at a time at the Junior Specialist Rank, for up to two years at a time at the Assistant and Associate Specialist rank, and for up to three years at a time at the full Specialist rank.

V. Compensation

- A. Individuals appointed to this series are compensated on the salary scales established for the Specialist Series on a fiscal year (11 month) basis.

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

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

VI. Requests for Appointment and Advancement

Appointment

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

Reappointment

Reappointments are to be submitted via the reappointment and modification module of AP Folio. The timing of the reappointment will be based on the original start date of the appointment and/or the availability of funding.

Advancement: Merit and Promotion

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

All merits and promotions will be effective July 1. Completed cases must be submitted to the Academic Personnel Office by **April 1**, preceding the effective date. Cases received after the due date will be returned to the Department and will not be processed. A missed deadline may not be used as justification for retroactivity in a future review. Deferral will be automatic if a Specialist does not submit material by the departmental due date and no case is forwarded by the department.

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

Chair/Director Letters of Recommendation

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

Bio-Bibliography

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

External Evaluation

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

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

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

VII. Approval Authority

Action

All actions

Authority

Associate Vice Chancellor for Academic Personnel

III-17
POSTDOCTORAL SCHOLARS
(Revised 9/18)

I. Definition

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

II. Appointment Criteria

Appointment to a Postdoctoral Scholar title requires a doctorate or its equivalent. Postdoctoral Scholars may be appointed into the following titles:

- Postdoctoral Scholar- Employee (3252 or 3255)
Used when payment for the appointment will be made via the University payroll system. This title is also used to supplement Fellow or Paid-Direct appointments when the external funding amount is below the required salary level. 3252 is used for exempt appointments and 3255 is used for non-exempt appointments.
- Postdoctoral Scholar- Fellow (3253)
Used when the appointee has been awarded a fellowship or traineeship by an extramural funding agency that will be paid through a University account. The appointment in UCPath may be with salary or without salary (funds paid as a stipend) depending on the fund source.
- Postdoctoral Scholar- Paid Direct (3254)
Used when the appointee is paid a fellowship or traineeship directly by the granting agency. Appointed without salary in UCPath.
- Interim Postdoctoral Scholar-Employee (3256)
Used when a UCSB graduate student has obtained their Ph.D. and needs a short-term appointment to complete an existing project from their degree program before moving on to other employment.

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

III. Terms and Conditions of Employment

- A. Appointment must be made at 100% time. Exceptions may be granted by the Associate Vice Chancellor for Academic Personnel in the following circumstances
1. Personal health
 2. Family responsibilities
 3. Employment external to the University
 4. To accommodate a temporary teaching appointment at UCSB

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

- B. The total duration of appointment in any combination of Postdoctoral Scholar titles, including postdoctoral service at other institutions, may not exceed five years.

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

1. Postdoctoral Scholar- Employee

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

- Subsequent reappointments will be for a minimum of one year

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

2. Postdoctoral Scholar- Fellow or Paid Direct

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

3. Interim Postdoctoral Scholar-Employee

- The appointment will be for the duration needed to bridge to the next employment but may not exceed one year.

IV. Requests for Appointment, Reappointment or Modification

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

- Initial Appointments

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

- Reappointments

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

- Modifications

1. For a Postdoctoral Scholar Fellow or Paid Direct, an updated copy of the external funding agency's award letter and guidelines.
2. For a reduction in time, appropriate documentation supporting the reason for the reduction.

B. Formal offers of employment may be extended prior to conferral of the Ph.D. however such offers are contingent on conferral of the Ph.D. prior to the start date of the appointment.

C. The completed form and appropriate attachments should be submitted to Academic Personnel at least a month prior to the start date of the appointment, reappointment or modification. A copy should be maintained in the departmental files.

D. Upon notification of approval of the action from Academic Personnel, the Department must provide the Postdoctoral Scholar with an appointment letter using the sample found at <https://ap.ucsb.edu/resources.for.department.analysts/postdoctoral.scholar.appointments/> along with appropriate attachments.

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

V. Compensation

- A. All Postdoctoral Scholars must be paid at or higher than the minimum for their experience level, as indicated on the posted salary scale (Salary Scale 23/23N.) If an extramural granting agency will provide less than the minimum salary for the experience level, the faculty mentor must arrange additional funding prior to the beginning date of the appointment in order to provide the minimum salary.
- B. When a Postdoctoral Scholar- Fellow or Paid Direct requires salary supplementation as described in A., the supplement will be paid using the Postdoctoral Scholar-Employee title.
- C. Movement to the next experience level pay rate must occur no later than the anniversary date of the Postdoctoral Scholar's original appointment date. Postdoctoral Scholars who are already above the new experience level rate must receive at least a 2% salary increase on their anniversary date. When the anniversary date occurs mid-appointment, the [Postdoctoral Scholars Mid Appointment Salary Increase](#) form is to be completed and submitted to Academic Personnel for approval of the increase.
- D. Mid-year salary increases are allowed but do not negate the mandatory increase on the Postdoctoral Scholar's anniversary date.

VI. Leaves

- A. Postdoctoral Scholars are eligible for 12 days of sick leave per twelve-month appointment period. All 12 days of leave are available for use effective the first day of the appointment. Any balance remaining at the end of an appointment period is to be carried forward to any subsequent Postdoctoral appointment or other University appointment that provides sick leave. A Postdoctoral Scholar who is reemployed after a separation with a break of less than six months will have sick leave reinstated in accord with Article 23 of the MOU.
- B. Postdoctoral Scholars are eligible for 24 days of personal time off per year. All 24 days of leave are available for use effective the first day of the appointment. Balances remaining at the end of an appointment do not carry forward to subsequent appointments. Time off for Postdoctoral Scholar-Fellow and Postdoctoral Scholar-Paid Direct appointees may be paid or unpaid, depending on the provisions of the funding agency agreement.
- C. Sick leave and personal time off are both recorded in full day increments. Approved absences of less than one full day do not require the use of personal time off or sick leave.
- D. Postdoctoral Scholars are also eligible for other leaves of absence as outlined in Article 12 of the MOU. Leaves of absence, other than use of personal time off or sick leave, require prior approval from the Associate Vice Chancellor for Academic Personnel.

VII. Reviews and evaluations

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

VI. Layoff

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

VII. Discipline and Dismissal

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

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

VIII. Approval Authority

Action

All actions

Authority

Associate Vice Chancellor, Academic Personnel

III-20
RESEARCH ASSOCIATE AND RESEARCH FELLOW
(Revised 9/18)

I. Definition

Research Associates and Research Fellows are non-salaried (without salary) appointments for scholars of distinction and visiting fellows whose main affiliation is elsewhere but who maintain a recognizable research affiliation with UCSB. Research Associates and Research Fellows may serve as co-PI by exception.

II. Appointment Criteria

Appointments may be made as:

Research Associate: Title code 3298

Research Fellow: Title code 3296

Appointees as Research Associate or Research Fellow must possess a Ph.D. or equivalent training in the field. In addition:

- A. Appointees as Research Associate must have established a record of independent research.
- B. Appointees as Research Fellow need not have had experience as an independent researcher aside from the research done for the doctoral degree. Research Fellows will normally be visiting fellows from recognized fellowship programs or from other universities.

In limited circumstances, an individual who is establishing a research relationship with UCSB but is not yet funded, and for whom UCSB is the main affiliate, may be appointed as Research Associate or Research Fellow.

III. Terms of Appointment

Appointments and reappointments to these titles are for specified terms, not to exceed three years per appointment. There is no limit on the total length of appointment in the series.

IV. Appointment Procedure

Appointments are processed by submitting the [Contingent Workers Appointment Form](#) signed Patent Acknowledgement form, and an up to date UCSB Biography form to the Academic Personnel office.

V. Approval authority

All actions Department Chair or Director with post-audit by Academic Personnel

VISITING (RESEARCHER AND PROJECT SCIENTIST) APPOINTMENTS

(Revised 9/18)

I. Definition

The Visiting prefix is used to designate one who:

1. Is appointed temporarily to perform the duties of the title to which the prefix is attached; and
2. Either has held, is on leave from, or is retired from an academic or research position at another educational institution; or whose research, creative activities or professional achievement makes a visiting appointment appropriate.

See APM 230 for System Wide policy on Visiting titles.

II. Appointment Criteria

The Visiting prefix may be used with titles in the Professional Research series or the Project Scientist series. When the title with the Visiting prefix is assigned to an individual on leave or retired from another institution, the title will usually be the same as the individual's title at the home educational institution.

The criteria for evaluation shall be the same as for the corresponding regular title. Because the appointment is temporary, reasonable flexibility may be employed in the application of these criteria. Care should be taken to inform the appointee of the provisions of IV below.

III. Term of Appointment

Each appointment or reappointment with a Visiting prefix shall not exceed one year. The total period of consecutive service shall not exceed two years.

If the appointee is later considered for transfer to a corresponding appointment in the regular series, the proposal for such transfer shall be treated as a new appointment subject to full customary review.

IV. Compensation

Appointments will normally be paid, but may be made on a without salary basis in limited circumstances. For paid appointments the salary for a visiting position is negotiated. While the salary does not have to be on-scale on the corresponding regular series scale, the salary may not be below the minimum rate for the rank. For example, a Visiting Researcher may not be paid below the Researcher Step I rate. Because these salaries are negotiated on an individual basis, they are not subject to range adjustments. For travel expense reimbursement, see APM 230-20h.

Without salary appointments may be appropriate when an individual is visiting UCSB but is being funded through either their home institution or some other external agency.

V. Appointment process

Requests for appointment in the Visiting Researcher series or Visiting Project Scientist series should be prepared using the [Visiting \(Researcher and Project Scientist\) Appointment Form](#). A UCSB Biography form and a CV must also be submitted.

VI. Restrictions

Neither tenure nor security of employment is acquired, although eligible service as a Visiting Assistant Researcher will count towards the University's eight-year limit (APM 133).

VII. Approval Authority

Action

All actions

Authority

Associate Vice Chancellor for Academic Personnel

III-25
WITHOUT SALARY VISITORS
(Revised 1/18)

I. Definition

A person on temporary leave from a non-UC academic appointment, other employment, or student enrollment at a non-UC institution or entity may be appointed as a Without Salary Visitor. Appointees to this title participate in short-term educational, research, or other academic projects under the supervision of an academic appointee.

II. Appointment Criteria

A. Appointments may be made as:

Visiting Scholar: Title Code 3299

Visitor (Graduate Student): Title Code 3730

Visitor (Undergraduate): Title Code 3731

B. A Visiting Scholar must possess an appropriate terminal degree or equivalent experience. A visitor (Graduate Student) and Visitor (Undergraduate) must be enrolled in a degree granting program or equivalent at a non-UC institution of higher education. The appointment must serve an academic purpose for the unit in which the individual is appointed.

III. Terms of appointment

A. Appointments may be made for up to one year and are self-terminating. Because appointments are intended to be short-term, reappointments should be rare.

B. Service as a Visitor does not constitute employment status or student status at the University. Visitors are bound by all rules and policies of the University of California.

IV. Compensation

A. Appointees in these series are not eligible for compensation via the payroll system.

B. Visitors must be self-supporting, and may be asked to provide evidence, appropriate to the duration of the appointment, of adequate support from external sources.

C. Visitors may be eligible for reimbursement of expenses as outlined in the Business and Finance Bulletin G-28 or for supplementary support in the form of a cost of living allowance.

V. Appointment Procedure

Appointments are processed by submitting a [Contingent Workers Appointment Form](#), signed Patent Acknowledgement form, and an up to date UCSB Biography form to the Academic Personnel office.

VI. Approval authority

Action

All Actions

Authority

Department Chair or Director with post-audit by Academic Personnel

SECTION IV: STUDENT ACADEMIC TITLES

IV-1
STUDENT ACADEMIC TITLES
General Information
(Revised 9/18)

I. Academic Student Employee agreement

Appointees to the titles of Teaching Assistant, Associate in___, Reader, and Remedial Tutor are covered by the Memorandum of Understanding (MOU) between the University and the UAW. The full contract is available on the Academic Personnel website at

<https://ap.ucsb.edu/policies.and.procedures/collective.bargaining.agreements/> .

Graduate Student Researchers are not covered by the MOU.

II. Employment Eligibility

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

B. Student appointees must be enrolled in a minimum of 8 units in a recognized program of graduate study, and must be within the appropriate degree deadlines. Exceptions may only be granted by the Dean of the Graduate Division.

III. Limitations on Service

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

B. The total length of service rendered as a Teaching Assistant or Associate in any combination of the two titles may not exceed four years (i.e., 12 academic year quarters.) Exceptions may be requested for an additional two years (6 academic year quarters), but in no case for more than 18 quarters.

IV. Pay Schedule

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

B. The pay period for Fall quarter for Teaching Assistants and Associates may consist of four months, September 1 through December 31, allowing students to receive their first check on October 1. The monthly amount of pay for four months of fall quarter is adjusted accordingly so that the total quarterly payment remains the same. Winter and Spring quarters remain on a 9/9 pay basis. The four-month pay period for Fall is optional. The appropriate payroll paperwork must be processed before mid-September if the four-month Fall schedule is to be used.

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

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

V. Benefits

A. Graduate student employees covered by the MOU are eligible for fee remission in accord with the MOU. Graduate Student Researchers are eligible for fee remission in accord with Red Binder IV-10.

B. Graduate students with appointments in covered titles are eligible for leaves of absence from their employment as outlined in Article 17 of the contract. Requests for leave should be made in writing, addressed to the supervisor as soon as the need for the leave is known. Leaves are granted only with

approval of the Departmental Chair. Graduate Student Researchers are eligible for leaves of absence in accord with Red Binder VI-3 and VI-4.

- C. Eligible graduate students with appointments in covered titles may receive reimbursement of allowable child-care related expenses in accord with Article 4 of the contract. Eligible graduate students in non-represented titles may receive reimbursement of allowable child-care expenses in accord with the Graduate Student Researcher reimbursement program. A child care reimbursement form and appropriate attachments must be submitted to the department. Forms and additional information are available on the Academic Personnel web site at <https://ap.ucsb.edu/resources.for.academic.employees/forms/>

IV-3
ASSOCIATE IN _____
(title code 1506)
(Revised 11/15)

There is no APM section describing this title. Appointments into this title are governed by the Memorandum of Understanding between the University and the UAW. At UCSB, the application of this policy is outlined in the following:

I. Definition

This title is assigned to registered UC graduate students employed temporarily to give independent instruction of a course.

II. Appointment Criteria

An Associate should be competent to conduct independently and without supervision the entire instruction of a course.

- A. Appointees to the Associate title are subject to all eligibility requirements listed in Red Binder IV-1
- B. The minimum qualifications for appointment to the Associate title shall be possession of a Master's degree, or advancement to candidacy, and at least one year of teaching experience.
- C. Appointees must be within the Departmental and Graduate Council approved number of years for both advancement to candidacy and degree completion as specified in Academic Senate Regulation 350A.

III. Terms and Conditions of Employment

- A. Normally an Associate will conduct the entire instruction of a course. An Associate may not be assigned an upper-division undergraduate course without the approval from the Committee on Courses and General Education (CCGE) and may not teach a graduate course without approval from the Graduate Council.
- B. Associates may not evaluate fellow graduate student appointees (i.e., Teaching Assistants). For courses in which Teaching Assistants are appointed, a specific faculty member must be named to be responsible for evaluation and mentorship of the Teaching Assistants.
- C. This appointment does not imply the responsibility of engaging in research.
- D. Appointments as an Associate are subject to the limitations of service described in Red Binder IV-1.

IV. Personnel Actions

- A. Appointment packets should be submitted to the Dean of the Graduate Division at least six weeks in advance of the beginning of the quarter.
- B. Appointees shall be notified in writing of their appointment. The written notice of appointment shall include all information required by Article 2 of the Memorandum of Understanding as well as appropriate supplemental documentation. Sample letters are available on the Academic Personnel web site at: <https://ap.ucsb.edu/resources.for.department.analysts/graduate.student.appointments/>
- C. Appointment packets should include the following:
 - Associate Appointment Form
 - UCSB Biography form with initial appointment in department
 - Teaching Evaluations
 - Graduate transcript
 - Current CV

- Course Syllabus

- D. Appointment requests that include the following exceptions must include an endorsement from the student's home academic department.
- On warning status
 - Beyond time to degree
 - Appointment in quarters 13-15
- E. Any changes to the appointment must be communicated to the appointee in writing.

V. Compensation

- A. Individuals appointed to this title are compensated at any on-scale rate within the published "Associate" range of the Academic Salary Scales at the 1/9th rate.
- B. Salaries are subject to range adjustment.
- C. A graduate student who is appointed as an Associate for 25% time or more during an eligible academic quarter will qualify for partial fee remission and payment of student health insurance.

VI. Approval Authority

Action

Authority

All Actions

Dean, with appropriate endorsements for exceptions*

*Endorsements

Dean, Graduate Division: Academic Probation, four or more quarters beyond time to degree, employment beyond 15 quarters

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

IV- 6
TEACHING ASSISTANTS
(Revised 11/15)

The policies on this series are set forth in Academic Personnel Manual (APM) 410 and the Memorandum of Understanding between the University and the UAW. At UCSB, the application of this policy is outlined in the following:

I. Definition

A teaching assistant is a registered UC graduate student in full-time residence, chosen for excellent scholarship and for promise as a teacher, and serving an apprenticeship under the supervision of a regular faculty member.

II. Appointment Criteria

- A. The basic criteria for appointment are embodied in the definition of the series. In addition, appointees to the Teaching Assistant title are subject to all eligibility requirements listed in Red Binder IV-1.
- B. Appointees must be within the Departmental and Graduate Council approved number of years for both advancement to candidacy and degree completion as specified in Academic Senate Regulation 350A.
- C. Master's students must be within the four year time limit set for the master's degree as stated in Academic Senate Regulation 300A .
- D. Students must be certified as having language proficiency in spoken English if their native language is not English. Additional details are available on the Graduate Division web site.
- E. After a year or more of graduate work, the graduate record will be substituted for the candidate's undergraduate record in appraising scholarly performance.

III. Terms and Conditions of Employment

- A. The Teaching Assistant is responsible for conducting a lecture, laboratory, or quiz section under the active tutelage and supervision of a regular member of the faculty to whom final responsibility for the course's entire instruction, including the performance of teaching assistants, has been assigned.
- B. A Teaching Assistant is not responsible for the instructional content of a course, for selection of student assignments, for planning of examinations, or for determining the term grade for students. The Teaching Assistant is not to be assigned responsibility for instructing the entire enrollment of a course or for providing the entire instruction of a group of students enrolled in a course.
- C. Occasionally an experienced Teaching Assistant may be assigned other or additional duties such as coordinating other TAs, developing pedagogical content (e.g., for labs or discussion sections), ensuring consistent grading across multiple TAs, or responding to individual student requests for DSP or other accommodations. These duties may be attached to a specific course or to a group of related courses. Individuals performing these duties may be given the working title of "lead TA"
- D. Appointments as a Teaching Assistant are subject to the limitations of service described in Red Binder IV-1.
- E. A Teaching Assistant with an appointment of 50% or less may not be assigned a workload of more than 220 hours in a quarter, 40 hours in any one week, or 8 hours in any one day. The number of hours in excess of 20 hours per week may not total more than 50 hours per quarter.

IV. Personnel Actions

- A. Appointment as a Teaching Assistant is for one academic year or less, and is self-terminating. The employee must be informed of the following: *“This appointment is contingent on the appointee being a registered graduate student in good standing for the duration of the appointment”*.
- B. Appointees shall be notified in writing of their appointment. The written notice of appointment shall include all information required by Article 2 of the MOU as well as appropriate supplemental documentation. Sample letters are available on the Academic Personnel web site at: <https://ap.ucsb.edu/resources.for.department.analysts/graduate.student.appointments/>
- C. Appointment requests that include the following exceptions must include an endorsement from the student’s home academic department.
 - On warning status
 - Beyond time to degree
 - Appointment in quarters 13-15
 - Appointment at above 50% time
- D. Any changes to the appointment must be communicated to the appointee in writing.

V. Supervision and review

The selection, supervision and training of all student-teachers is an important responsibility of the teaching department, and in particular of the department chairperson. All candidates for appointment and reappointment should be subject to careful review and recommendation, either by the department as a whole or by a responsible committee.

In order to ascertain the quality of the teaching assistant’s work and to make improvements when necessary regular review is necessary. The faculty member with responsibility for the course should periodically visit the lecture and laboratory sections of the course to gain a basis for appropriate review.

Written evaluation of the teaching assistant should be provided by the overseeing faculty member on a quarterly basis. These evaluations should be included in any consideration for reappointment.

VI. Compensation

- A. Individuals appointed to this title are compensated at the published Teaching Assistant rate on the Academic Salary Scales at the 1/9th rate.
- B. Salaries are subject to range adjustment.
- C. “Lead TA” duties are to be compensated at the Teaching Assistant rate. The percentage of appointment in the TA title should be proportionate to the hours of work needed to perform all Teaching Assistant duties.
- D. A graduate student who is appointed as a Teaching Assistant for 25% time or more during an eligible academic quarter will qualify for partial fee remission and payment of student health insurance.

VII. Approval authority

<u>Action</u>	<u>Authority</u>
All normal actions and exceptions other than those listed below	Department Chair, with Graduate Division post-audit
Students on Academic Probation Appointment over 75% time Employment beyond 15 quarters Four or more quarters beyond time to degree	Dean, Graduate Division

IV-8
READER
(Revised 11/15)

The policies on the use of the Reader title are set forth in APM 420 and the Memorandum of Understanding between the University and the UAW. At UCSB, the application of this policy is outlined in the following:

I. Definition

A Reader will normally perform such duties as grading student papers and exams. A Reader will not be given responsibilities normally assigned to a Teaching Assistant or Associate.

II. Appointment Criteria

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

Title code **2850 (Reader- Gship)** is to be used for graduate student appointments.

Title code **2851 (Reader- non-Ghip)** is to be used for undergraduate appointments and for graduate student appointments that do not meet the fee remission threshold.

Title code **2500 (Reader-non-student)** is to be used for non-student appointments.

III. Terms and Conditions of Employment

- A. Readers are subject to the provisions of the Memorandum of Understanding regardless of student status.
- B. Appointments as a Reader are subject to the limitations of service described in Red Binder IV-1.
- C. Readers may not be assigned a workload of more than 40 hours in one week or 8 hours in one day.

IV. Personnel Actions

- A. Appointees shall be notified in writing of their appointment. The written notice of appointment shall include all information required by Article 2 of the MOU as well as appropriate supplemental documentation. Sample letters are available on the Academic Personnel web site at: <https://ap.ucsb.edu/resources.for.department.analysts/graduate.student.appointments/>
- B. Appointment requests that include an exception to appoint beyond 50% time must include an endorsement from the student's home academic department.
- C. Any changes to the appointment must be communicated to the appointee in writing.

V. Compensation

- A. Readers are compensated on an hourly basis according to the published salary scales.
- B. A graduate student who is appointed as a Reader for 25% or more during the academic quarter will qualify for partial fee remission and payment of student health insurance.

VI. Approval authority

Action

All Actions

Authority

Department Chair (post-audit of graduate student appointments by Graduate Division)

IV-9
REMEDIAL TUTOR
(11/15)

There is no APM section describing this title. Appointments into this title are governed by the Memorandum of Understanding between the University and the UAW. At UCSB, the application of this policy is outlined in the following:

I. Definition

This title is assigned to registered UC graduate and qualified undergraduate students employed temporarily to assist students in understanding course concepts, discovering solutions to problems, modeling study strategies, developing methods for independent work, and preparing for upcoming exams.

II. Appointment Criteria

Tutors will usually be graduate students; but qualified undergraduate students may be so employed.

Title codes **2288 and 2289 (Remedial Tutors I & II – Gship)** is to be used for graduate student appointment

Title codes **2280 and 2290 (Remedial Tutors I & II – non-Gship)** is used for graduate student appointment – no fee remission and undergraduate student appointment

III. Terms and Conditions of Employment

- A. Tutors are subject to the provisions of the Memorandum of Understanding regardless of student status.
- B. Appointment as a Tutor are subject to the limitation of service described in Red Binder Section IV-1.
- C. Remedial Tutors shall not be assigned a workload of more than 40 hours in any one week or assigned to work more than eight (8) hours in any one day.

IV. Personnel Actions

- A. Appointees shall be notified in writing of their appointment. The written notice of appointment shall include all information required by Article 2 of the MOU as well as appropriate supplemental documentation. Sample letters are available on the Academic Personnel web site at: <https://ap.ucsb.edu/resources.for.department.analysts/graduate.student.appointments/>
- B. Appointment requests that include an exception to appoint beyond 50% time must include an endorsement from the student's home academic department.
- C. Any changes to the appointment shall be communicated to the appointee in writing.

V. Compensation

- A. Individuals appointed to this title are compensated on an hourly basis according to the published salary scales.
- B. Tutors shall be guaranteed pay for the entirety of any pre-scheduled tutoring timeslot.
- C. A graduate student who is appointed as a Tutor for 25% time or more during an academic quarter will qualify for partial fee remission and payment of graduate health insurance.

VI. Approval Authority

Action

Authority

All Actions

Department Chair

IV- 10
GRADUATE STUDENT RESEARCHER
(Revised 5/17)

I. Definition

A Graduate Student Researcher is a registered UC graduate student who performs research related to the student's degree program in an academic department or research unit under the direction of a faculty member or Principal Investigator. Graduate Student Researchers are selected for high achievement and promise as creative scholars; they may collaborate in the publication of research results as determined by supervising faculty members. Graduate Student Researchers may not be assigned teaching, administrative or general assistance duties.

II. Appointment Criteria

Appointment to the Graduate Student Researcher title requires the following:

1. The appointee is a registered UC graduate student.
2. The work performed may contribute to the educational objectives of the student; and/or
3. The student functions as an active collaborator and/or fundamental contributor to the intellectual content of the research.

The criteria for appointment to each of the steps listed below are provided as guidelines for departments. Departments may make appointments at higher or lower steps as long as all GSRs in the department are treated consistently. In the absence of departmental step criteria, the following serve as guidelines for appointments to the various steps:

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

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

Appointment should be made using the following titles and title codes:

Title code **3284 (Graduate Student Researcher- Full Tuition and Full Fee Remission)**: The level of tuition and fee remission will be determined based on the total percentage and/or hours worked in titles eligible for remission.

Title code **3266 (Graduate Student Researcher- No Remission)**: Appointments during the summer.

III. Term of Appointment

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

Department chairs may approve exceptions up to 75% time. Employment beyond 75% must be

approved by the Dean of the Graduate Division.

An appointment to this title may be for a period of one year or less and is self-terminating. The employee must be informed of the following:

"This appointment is contingent on the appointee being a registered graduate student in good standing for the duration of the appointment".

IV. Process for Appointment

Departments are encouraged to provide the GSR with a letter from the Department Chair that includes, but is not limited to: employment title, begin and end dates, rate of pay, percentage time of appointment, and self-termination language. A copy of the letter should be placed in the employee's personnel file.

V. Approval Authority

<u>Action</u>	<u>Authority</u>
All normal actions	Department Chair
Exceptions:	
Employment up to 75% time	Department Chair
Employment in quarters 13-15	Department Chair
All other exceptions	Prior approval from Dean, Graduate Division

SECTION V: OTHER ACADEMIC TITLES

V-1
ACADEMIC COORDINATOR
(Revised 11/16)

I. Definition

This title is appropriate for appointees who administer academic programs that provide service to academic departments or research units, to students, or to the general public. The service must be closely related to the teaching or research mission of the University.

The duties of an Academic Coordinator are primarily administrative. Teaching or research related responsibilities will require appointment in an appropriate academic title. Occasional non-credit seminars or workshops may be conducted under the Academic Coordinator title. See APM 375 for System Wide policy on Academic Coordinators.

II. Rank and Step

This series contains ranks I - III. Ranks I and II include 15 steps, Rank III includes 9 steps.

III. Appointment Criteria

Appointment cases are to be submitted via AP Folio and using the "Documents to be submitted by the Chair" (Red Binder V-2.) Reappointments are to be submitted via the reappointment and modification module of AP Folio. The timing of the reappointment will be based on the original start date of the appointment and/or the availability of funding.

- A. An appointee must have a professional background of academic training and/or experience for appointment to this series. A Master's or equivalent or other appropriate degree(s) is usually required. Certain positions may require a doctorate or equivalent experience.
- B. The appropriate rank will be determined by taking into consideration such factors as program scope and complexity. APM 375, Appendix A provides guidelines for determining appropriate rank. In general, the ranks are differentiated as follows:
 - 1. Academic Coordinator I:
Appointees will have responsibility for programs of minimal to moderate complexity. The program will normally have a small staff, and may consist primarily of local University-related activities with limited breadth or narrow focus. The appointee will likely receive general supervision from the department chair, a faculty member or other academic or professional staff.
 - 2. Academic Coordinator II:
Appointees will have responsibility for programs of moderate complexity. The program will normally have a moderately-sized staff or a scope that encompasses several units or activities. The appointee is expected to manage the program with a great amount of independence.
 - 3. Academic Coordinator III:
Appointees will have primary responsibility for the administration, management, and coordination of large programs with broad and substantial complexity. Responsibilities will be fulfilled independently (for example, unit heads who report directly to a dean or vice chancellor). Appointments to this level will require demonstrated superior professional ability, outstanding accomplishment in job-related activities, and the assumption of greater responsibility than typically delegated to Academic Coordinators at other levels.

IV. Term of appointment

- A. Appointments will normally be made for one year at a time, but may, with justification, be made for up to a maximum of three years at a time.
- B. No further notice of non-reappointment is necessary for appointments at less than 50% or for appointment of less than eight consecutive years in the same title or series.

Notice of non-reappointment must be given if the employee has served at 50% or more for eight or more consecutive years in the same title or series (APM 137-30). Written Notice of Intent not to

reappointment must be given at least 60 days prior to the appointment's specified end date. The notice must state (1) the intended non-reappointment and the proposed effective date; (2) the basis for non-reappointment; and (3) the employees right to respond within 14 days and the name of the person to whom they should respond. Within 30 days of the Notice of Intent, and after review of any response, the University will issue a written Notice of Action to the employee. Pay in lieu of notice may be given.

V. Compensation

- A. Individuals appointed to this series may be compensated on an academic-year or fiscal-year basis, dependent on the nature of the position.
- B. Off-scale salaries are allowed within the same limits and policies as ladder faculty off-scale salaries. (Red Binder I-8)
- C. Salaries are subject to range adjustment.

VI. Advancement

Advancement cases are to be submitted via AP Folio and using the checklist of documents to be submitted by the chair for Academic Coordinator reviews (Red Binder V-2).

- A. Merit increases will normally occur once every 2 years at Rank I and II and once every 3 years at Rank III. A personnel review must be conducted at least once every two years at Rank I and II and at least once every three years at Rank III. If advancement is not justified, a recommendation of "no change" may be made. Accelerated advancement may be recommended in cases of demonstrated exceptional merit. An Academic Coordinator who has reached the top step within rank will continue to be subject to review every 2 or 3 years depending on rank. Advancement at the top step within rank will normally be an increase of 5%, applied as an increase in the off-scale supplement.
- B. All merits and promotions will be effective July 1. Completed cases must be submitted to the appropriate control point by May 1, preceding the effective date.
- C. Advancement from one step to the next is based on merit. Promotion to a higher rank will require significant change in the scope and complexity of the program administered.
- D. A request for merit advancement will require evaluation of the candidate's performance and activity in the areas of: a) Coordination of the Academic Program, b) Professional Competence, and c) University and Public service. A request for promotion must also address the change in scope and complexity of the program administered. An updated job description must be included with each request for merit, promotion or reappointment.

VII. Approval Authority

<u>Action</u>	<u>Authority</u>
New appointments	Associate Vice Chancellor for Academic Personnel
Reappointments and merits	Dean or Associate Vice Chancellor for Academic Personnel, as appropriate
Promotions	Associate Vice Chancellor for Academic Personnel

V-2
DOCUMENTS TO BE SUBMITTED BY THE CHAIR
ACADEMIC COORDINATORS
(Revised 11/16)

All appointments and advancements are to be submitted via AP Folio

APPOINTMENTS

I. Departmental letter of recommendation

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

- Are the dates of the appointment, rank and step all clearly stated?
- Is the recommended salary on the published salary scale?

II. Complete CV and UCSB Academic biography form

- Is the CV up to date?
- Is the UCSB Academic biography form complete, signed and dated?

III. Job Description

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

IV. Copies of other supportive documentation

- Has a representative sampling of supporting documentation been submitted?

Other considerations:

1. If a search was conducted, the search report must be approved in UC Recruit before the appointment is submitted. If no search was done, a waiver must have been approved.
2. The Procedural Safeguard Statement is not used for new appointments. However, candidates for appointment, once appointed, do have the right to inspect non-confidential documents in their files and to have a redacted copy of the confidential academic review records contained in the personnel review file received pursuant to APM 220-80-i.
3. When putting forward a case for a non-resident alien (i.e. not currently a US Citizen or a Permanent Resident), the department is strongly encouraged to consult with the Office of International Students and Scholars at the time the offer is being considered to be assured that labor certificate processing deadlines are met.

MERITS AND PROMOTIONS

I. Departmental letter of recommendation

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

- Is the letter an accurate, extensive, and **analytical** representation of the case?
- If there is a recommendation for an acceleration, are the reasons for the acceleration specifically stated?
- In the case of a negative departmental recommendation, is the basis of the recommendation clearly documented?
- Is all relevant information from the Departmental letter accurately entered on the case up-load screen?

II. Updated CV or Bio-bib

- Is the CV up to date?
- Is the Bio-Bib in the proper format?
- Is the Research section a **cumulative** list of publications (or creative activities) with a line drawn separating all new items from where the bio-bib from the last review case had ended?

- Are the numbers the same as in the previously submitted bio-bib, and have items previously listed as “In Press”, “Submitted” been accounted for?
- Are all items, including “In Press”, “Submitted”, and “In Progress” properly numbered?
- If sections other than Research are cumulative, are lines drawn showing what is new since the last successful review?

III. **Job Description**

- Is an updated job description included if there have been changes since the last review?
- If there have not been changes in the job description, does the departmental letter state that fact?

IV. **Safeguard Statement (RB III-5).**

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

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

V. **Copies of supportive documentation**

- Has a representative sampling of supportive documentation been submitted?

V-6
CURATOR
(Revised 5/16)

There is no APM section describing this title. The title code for this series is 3650. At UCSB, the application of this policy is outlined in the following:

I. Definition and appointment criteria

An individual may be appointed to the without salary Curator title in a recognized Center or Museum when they:

- A. Have expertise in a particular discipline or collection
- B. Are a recognized authority in the particular discipline or collection
- C. Are actively involved in the management, curation, and conservation of the collection.

In addition, an individual appointment into the title of Curator is expected to:

- A. Advise the collections staff on curation
- B. Educate the public through such activities as workshops, seminars, leading tours for university classes, K-12 outreach programs
- C. Assist in grant writing and fund-raising as appropriate.

II. Conditions of use of title

Appointments as Curator are on a without salary basis. An individual appointed as Curator will continue to hold their underlying academic or staff title on a paid basis. The hiring unit will define the specific curatorial responsibilities for each appointee.

Appointments will normally be made on a year by year basis. Appointments to this title are temporary and at will. The individual serves at the discretion of the designee of the Chancellor who holds approval authority. Termination of a without salary Curator appointment does not affect the underlying academic or staff title.

III. Approval authority

Action
All appointments

Authority
Dean or Associate Vice Chancellor for Academic Personnel

V-10
ASSISTANT AND ASSOCIATE UNIVERSITY LIBRARIANS
(Revised 4/15)

I. Definition

The titles in this series are used for academic appointees who provide top-level professional and administrative services to the University libraries as officers assisting the University Librarian.

II. Ranks and Steps

There are no steps within ranks of Assistant and Associate University Librarian.

The titles of Acting Associate Librarian and Acting Assistant Librarian may be used only for individuals on temporary assignments.

III. Appointment Criteria and Process

The candidate will normally hold a professional degree from a library school and have considerable subsequent experience as a professional librarian. Demonstrated superior professional ability and attainment are indispensable qualifications for appointment to either rank in the series. Appointees may be assigned authority for management of a section of the library or of a major functional area of library administration

Appointees as Assistant University Librarian will have major responsibility for assisting with planning and managing library operations.

Appointees as Associate University Librarian will have high level responsibility in the planning and management of the operation of the library or libraries of the campus. An Associate University Librarian is expected to be capable of functioning as deputy for the University Librarian when necessary.

Appointment cases are to be prepared by the University Librarian according to the checklist in V-11. The case is forwarded to the Associate Vice Chancellor for Academic Personnel.

IV. Advancement Criteria and Process

Reviews will be based on the criteria outlined in APM 365 including:

- A. Qualifications and accomplishments consistent with the planning and management of operations of the University Library or Libraries.
- B. Professional competence and quality of service within the Library
- C. University and public service; and professional activities outside the Library
- D. Research and other creative activity

The candidate will submit a memo to the University Librarian describing contributions and accomplishments during the review period, and may include any other relevant documents such as publications, evidence of presentations or other such materials. The candidate and the University Librarian will discuss the option of soliciting letters of recommendation for the case. If the result of this discussion is a decision to solicit letters, the candidate will submit a list of potential reviewers to the University Librarian who will then make the final determination of individuals to be asked for letters. The University Librarian may also solicit letters from individuals not on the candidates list but must notify the candidate if this option is exercised. The candidate may also provide names of persons who, in the view of the candidate, and for reasons set forth, might not provide objective evaluations.

Merit increases are not automatic but rather must be justified by the quality of professional and administrative service rendered by the appointee.

Advancement cases are to be prepared using the checklists of documents to be for AUL merits and promotions (Red Binder V-11). All advancement actions are based on the individual's achievements. Merit increases are based on the record since the time of last review while promotions are based on the career record.

The normal period of service between reviews is two years for an Assistant University Librarian and three years for an Associate University Librarian.

Merit increases will normally be 7% for an on time merit. Requests for increases of more than 7% must include evidence of excellence and performance beyond the expected standards for the position.

Promotion from Assistant University Librarian to Associate University Librarian must be justified not only by excellence of service and attainments, but also by demonstrated professional growth and accomplishment and/or the assumption of greater responsibility.

All merits and promotions will be effective July 1. Completed cases must be submitted to the Academic Personnel Office by May 31. Cases received after the due date will be returned to the Library and will not be processed. A missed deadline may not be used as justification for retroactivity in a future review.

Deferral will be automatic if an AUL does not submit material by the departmental due date and no case is forwarded by the library, with the exception of mandatory reviews.

Appointees must undergo a performance review at least once every five years, including an evaluation of the complete record since last review. This review may not be deferred. If the candidate does not turn in materials by the library due date, the University Librarian will conduct the review based on the materials available 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.

V. Compensation and term of appointment

- A. Appointment as Assistant or Associate University Librarian is for an indefinite term.
- B. The effective date of merits and promotions will be July 1.
- C. Salaries must be within the established ranges on the annually published salary scales from Office of the President. Exceptions above the maximum will require further review and approval by the Executive Vice Chancellor.
- D. Salaries are subject to range adjustment.
- E. Appointees accrue vacation and sick leave in accord with APM 710 and 730
- F. If an appointee is to be terminated, the conditions outlined in APM 365-20 must be followed. Termination due to lack of work or lack of funds requires at least one month's notice. Termination due to conduct or performance of duty such that immediate dismissal is justified requires no notice. Termination for any other reason requires four months notice if the appointee has less than one year of service, and six months notice if the appointee has one year or more of service. Assistant and Associate University Librarians are covered by Red Binder III-35 and APM 140 Grievance Policies for Non-Senate Academics.

VII. Approval Authority

Action

Authority

All Actions

Associate Vice Chancellor, Academic Personnel

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

(Revised 11/15)

APPOINTMENTS

I. Letter of recommendation

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

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

II. Complete CV and UCSB Academic biography form

- Is the CV up to date?
- Is the UCSB Academic biography form complete, signed and dated?

III. Copies of other supportive documentation

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

Note: The Procedural Safeguard Statement is not used for new appointments. However, candidates for appointment, once appointed, do have the right to inspect non-confidential documents in their files and to have a redacted copy of the confidential academic review records contained in the personnel review file received pursuant to APM 220-80-i.

MERITS AND PROMOTIONS

I. University Librarian letter of recommendation

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

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

II. Updated UCSB Academic Biography form

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

III. Safeguard Statement (RB III-5)

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

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

IV. Candidate's self evaluation

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

V. Letters of evaluation

If letters were solicited

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

VI. Copies of supportive documentation

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

V-15
LIBRARIANS
(10/10)

The system-wide policy for Librarians is set forth in Academic Personnel Manual (APM) 360. Librarians who are not supervisory, management, or confidential are represented by the American Federation of Teachers (AFT) and as such are also covered by the Memorandum of Understanding between the University and the AFT. At UCSB, the application of these policies is available under the listing of “Procedures for Appointment and Review, Librarian Series” and “Procedures for Review and Advancement in the Librarian Series for Represented Librarians” at the following Library web site: <http://lauc.library.ucsb.edu/academic-review/>

Emeritus Status for Librarians

A. Eligibility

Members of the Librarian Series are eligible to be nominated for emeritus status upon retirement. In compliance with [APM-120](#), as non-Senate academic appointees, nominees shall be evaluated according to the following criteria:

- The nominee shall have at least ten years of University service.
- The nominee shall have attained the highest rank in the individual’s title series. (For librarians, this means attainment of the rank of Librarian.)
- The nominee shall show evidence of noteworthy and meritorious contributions to the educational mission and programs of the University.

B. Privileges

1. Library privileges are the same as those of other emeriti, i.e., those of an active academic employee: extended borrowing privileges; interlibrary loan privileges; and a library card that allows proxy server access to online resources restricted to UCSB users.
2. Library network access: a free e-mail account shall be retained on the library's server.
3. Campus network access (through a campus Directory account): a free UCSBnetID account shall be retained.

C. Procedures

1. A request for nomination shall be initiated either by the candidate or by any member of the Librarians Association of the University of California (LAUC) upon or within two years following retirement. If the request for nomination is made upon retirement, it shall be accompanied by a signed statement from the candidate stating the intention to retire on a given date, or the date of retirement.
2. The candidate shall prepare the file consisting of an updated Biography form and updated Biography Supplement, and an outline of the noteworthy and meritorious contributions achieved during the candidate’s career.
3. The file shall be submitted to the University Librarian. The University Librarian shall make a decision on nominating the candidate, and if favorable will submit the nomination to the Associate

Vice Chancellor for Academic Personnel for approval. The nomination shall include the candidate's file and the University Librarian's recommendation.

Compiled by LAUC-SB Executive Board, December 14, 2009

Approved by University Librarian, Brenda Johnson, January 21, 2010

V-17
ADJUNCT PROFESSOR SERIES
(Revised 11/15)

I. Definition

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

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

II. Appointment Criteria

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

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

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

III. Term of Appointment

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

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

The following policies apply to all without salary Adjunct appointments

IV. Restrictions and review process

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

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

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

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

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

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

The following policies apply to all salaried Adjunct appointments

V. Ranks and Steps

Assistant Adjunct Professor II- V
Associate Adjunct Professor I- IV
Adjunct Professor I- IX

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

VI. Compensation

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

VII. Restrictions

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

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

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

tenure, and are not eligible for sabbatical leave.

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

VIII. Appointment and Advancement

- A. Paid appointments at 50% time or more that exceed one year will be considered the equivalent of ladder rank faculty appointments. Procedures and policies concerning appointment and advancement within the ladder ranks will apply to these positions (Red Binder I). The checklists for appointment (Red Binder I-15) and for advancement (Red Binder I-31 and I-34) should be used when preparing cases. For individuals appointed at less than 50% the same checklists is to be used to prepare the case.
- B. All advancement actions are based on the individual's achievements. Normal advancement will occur after 2 years at step at the Assistant or Associate level and after 3 years at the Adjunct Professor level. Merit increases are based on the academic record since the time of last review while promotions, advancement to Adjunct Professor VI, and advancement to Adjunct Professor Above Scale are based on the career academic record. Any advancement requested prior to ~~that~~ the normative time at step will be considered an acceleration and must be justified as such.
- C. All merits and promotions will be effective July 1. Completed cases must be submitted to the college by the deadlines established for ladder faculty cases. Cases received after the due date will be returned to the Department and will not be processed. A missed deadline may not be used as justification for retroactivity in a future review.

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

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

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

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

IX. Approval Authority

Action

Authority

50% or more for more than one year:

Same as ladder rank faculty
(Red Binder I-14)

Exceptions to State funding limits

Chancellor

Less than 50% or one year or less:

Assistant level: Appointments
Reappointments, Merits

Dean

Associate, Full reappointments and merits

Dean

Associate, Full Appointments
Promotions

Associate Vice Chancellor

Exceptions to State funding limits

Associate Vice Chancellor

V-20
PROFESSOR OF PRACTICE
(Revised 9/18)

I. Definition

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

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

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

II. Appointment and advancement criteria

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

1. Professional competence and activity

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

2. Teaching contributions

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

3. Research contributions

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

4. Service contributions

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

III. Terms of service

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

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

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

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

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

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

IV. Compensation

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

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

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

V. Restrictions and Conditions of Employment

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

VI. Appointment and advancement processes

- A. Paid appointments as Professor of Practice at 50% or more that exceed one year will be considered the equivalent of ladder-rank faculty appointments for purposes of appointment and advancement. Procedures and policies concerning appointment and advancement within the ladder ranks will apply to these positions (Red Binder I). The checklists for appointment (Red Binder I-15) and for advancement (Red Binder I-31 and I-34) should be used when preparing cases. For individuals appointed at less than 50% time the same checklists are to be used to prepare the case.
- B. All advancement actions are based on the individual's achievements. Merit increases are based on the academic record since the time of last review. Any advancement requested prior to the normative time at step will be considered an acceleration and must be justified as such.
- C. All merits and promotions will be effective July 1. Completed cases must be submitted to the college by the deadlines established for ladder-faculty cases. Cases received after the due date will be returned to the Department and will not be processed. A missed deadline may not be used as justification for retroactivity in a future review.
- D. Deferral will be automatic if a Professor of Practice does not submit material by the departmental due date and no case is forwarded by the department, with the exception of formal appraisals and mandatory reviews.
- E. Appointees in the Professor of Practice series must undergo a performance review at least once every five years, including an evaluation of the record in all review areas. This review may not be deferred. If the candidate does not turn in materials by the departmental due date, the department will conduct the review based on the materials available in the department as of the due date.
- F. External letters of evaluation will be required in cases of: appointment as Professor of Practice, merit to Professor of Practice, Step VI and merit to Professor of Practice Above Scale. The policies related to solicitation of external evaluation for ladder faculty must be followed (Red Binder I-46 to I-50).
 1. The following wording should be inserted into the standard letter as appropriate:
 - a. _____ is being considered for [appointment as a Professor of Practice/ merit to Professor of Practice Step VI/merit to Professor of Practice Above Scale] in the Department of _____
Appointees in the Professor of Practice series are distinguished professionals, either practicing or retired, who help promote the integration of academic scholarship with practical experience. For such appointees the candidate's record of professional competence and activity is carefully assessed as is their record of, or potential for teaching, and contributing to the research and service missions of the University.
- G. Professional activity, teaching, and creative contributions may differ from standard ladder-rank professorial activities, and can also be judged on the basis of professional competence, intellectual contribution, originality, and the total value of the appointee's engagement with the department. Evaluation of the candidate with respect to these criteria should take into account the nature of the University assignment of duties and responsibilities.
- H. Appointments as Visiting Professor of Practice will follow the same process as appointment as a Visiting Professor (Red Binder II-28, V). Visiting Professors of Practice are not eligible for merit increases.

VII. Approval Authority

Action

Authority

All actions

Associate Vice Chancellor for Academic Personnel

V-25
FACULTY ADMINISTRATORS
(Revised 4/15)

Faculty Administrative titles require that the appointee hold an underlying academic title. Most often the title will be an Academic Senate title, but individuals from other series may also be appointed. Use of all titles requires prior approval as indicated in the following sections.

Appointment to a Faculty Administrative position is subject to approval by the Chancellor, or the Executive Vice Chancellor, and is governed by the applicable Academic Personnel Manual Policy and Red Binder policy. The Executive Vice Chancellor will consult with the Associate Vice Chancellor for Academic Personnel prior to approval of any new faculty administrator positions.

Individuals appointed to a full time administrative position are not subject to the mandatory five year review on the Professorial title, but will be reviewed in the administrative position once each five years as required by Senior Management Group and Academic Personnel Manual policy. Individuals compensated via an administrative stipend will continue to be subject to review on their Professorial title. Red Binder I-67 provides guidance concerning evaluation of administrative service in the personnel process.

The titles of Chancellor, Executive Vice Chancellor, Vice Chancellor, and University Librarian are covered by Senior Management Group policies.

Appointees to Faculty Administrative titles maintain their underlying academic title and all rights associated with the underlying academic title.

Approval Authority

<u>Type of appointment</u>	<u>Authority</u>
Department Chair, Vice Chair	Executive Vice Chancellor
ORU Director, Assoc. Director	Executive Vice Chancellor
Dean	Chancellor
Associate Dean	Executive Vice Chancellor
All other titles	Executive Vice Chancellor

V-28
DEANS AND FULL TIME FACULTY ADMINISTRATORS
(Revised 11/16)

The system-wide policy for Deans is set forth in Academic Personnel Manual (APM) 240. The system-wide policy for Full-time Faculty Administrators is set forth in Academic Personnel Manual (APM) 246. At UCSB, the application of these policies is outlined in the following:

I. Definition

An academic Dean, Acting Dean, or Interim Dean is head of a Division, College, School, or other similar academic unit and has administrative responsibility for that unit. As academic heads of their units, Deans are persons of scholarly and professional accomplishment. The University encourages their continued engagement as academicians in scholarly, professional, teaching, and University service activities, consistent with, but distinct from, their decanal responsibilities. Therefore, it is appropriate for time to be allotted to them to engage in these activities. University Extension Deans are not covered by this policy.

Faculty Administrators who are appointed at 100% are primarily responsible for administrative duties but maintain their underlying Academic Senate faculty appointment. Faculty may be appointed to 100% administrative positions into the following titles:

Associate Vice Chancellor
Associate Dean

Appointees in these titles assume a portion, or specific function of the duties assigned to the respective Vice Chancellor or Dean and may act in their behalf as requested.

II. Terms of service

Deans and 100% Faculty Administrator appointments will be full time positions and will be for a period of up to five years, subject to reappointment. Appointments are made on a fiscal year basis. Appointment as Acting or Interim will normally be for a one-year period, subject to reappointment, and may be on either an academic or fiscal year basis, as determined by campus need.

The Executive Vice Chancellor will conduct an annual assessment of each Dean and 100% Faculty Administrator and will communicate the key components of the assessment to each appointee. In addition, the Executive Vice Chancellor shall conduct a five-year review of each Dean and 100% Faculty Administrator, in accord with APM 240-80 b. (1), APM 246-80 b, and campus procedures. Reviews of 100% time Associate Deans will be conducted by the appropriate Dean. The Dean will communicate the key components of the review to the Associate Dean and will communicate the results of the review to the Executive Vice Chancellor. The administrative review process is separate and distinct from the academic merit process.

Appointees to the titles covered by this policy are at will and individuals serve at the discretion of the Chancellor. Termination of an administrative appointment does not affect the underlying faculty appointment.

III. Salary administration

A. Establishment of salary:

Deans will be paid within the salary bands established by the Office of the President. Initial salaries will be based on prior relevant administrative experience, market factors, comparable

positions on campus or within the UC system, and the individual's professorial salary. At all times the administrative salary must remain greater than the professorial salary.

A full time Faculty Administrator's initial salary will be based on the following factors, as applicable: prior relevant administrative experience, market factors, comparable positions on campus or within the UC system, and the individual's professorial salary.

- B. Merit increases:
Deans and 100% Faculty Administrators found to be performing at a satisfactory level during their annual review will receive a merit increase, effective July 1, equivalent to the across the board salary increase program for Senate Faculty.

- C. Other salary increases:
Deans and 100% Faculty Administrators are not subject to across the board salary scale increases and associated salary programs.

The Chancellor is authorized to approve pay increases based on equity, retention, or at the time of a five-year review in accord with APM 240-18 c. and 246-18 c.

The amount of pay increase at the time of the five-year review will be based on the five-year assessment, the candidate's current position within the salary range and relative to other internal positions, and the availability of funding. Equity or retention increases may also be granted during the appointment period and should be effective July 1 to the extent possible.

- D. Additional Compensation:
A Dean or 100% Faculty Administrator may receive up to 1/12th payment for summer research or for summer session teaching in exchange for accrued vacation days. Vacation days may not be used in advance of accrual. Individuals holding an Acting or Interim appointed on an academic year basis may receive summer compensation, not to exceed 3/9ths, exclusive of stipends.

IV. Conflict of Commitment and Outside Professional Activities

Deans and full time Faculty Administrators are subject to APM- 025 and Red Binder I-29 with the following additional provisions:

(1) A Dean or full time Faculty Administrator may serve on no more than three for-profit external boards for which he or she receives compensation and for which he or she has governance responsibilities.

(2) All outside professional activities, including compensated consulting activity, shall be reported annually to the Executive Vice Chancellor.

(3) A Dean or full time Faculty Administrator may in each fiscal year engage in a maximum of 48 calendar days of compensated outside professional activity. The first 12 days per fiscal year do not require use of vacation time. Days in excess of 12 require use of accrued vacation leave, which must be used in full day increments.

V. Leaves

Deans and full time Faculty Administrators accrue and use vacation in accordance with APM-730, at a rate of 16 hours per month for a full time, fiscal year appointment. Vacation is used in full day increments only. Time cards are to be kept up to date on a monthly basis and submitted to Academic Personnel at the end of each fiscal year for review and approval by the Executive Vice Chancellor.

Deans may be granted a transition leave immediately following the conclusion of the service as Dean. The leave will be paid at either the current administrative or the faculty rate, dependent on when the sabbatical leave credits were accrued. Transition leave is subject to the conditions of APM 240-60 e.

Deans and full time Faculty Administrators do not accrue sick leave. However, appointees will be granted paid medical leave for periods of personal illness, injury, or disability, in accordance with APM 710-11. All other faculty leave policies are applicable to Dean and full time Faculty Administrator appointments (Red Binder VI-1).

FACULTY ADMINISTRATORS LESS THAN 100% TIME

(Revised 05/14)

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

I. Definition

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

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

II. Terms of service

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

The Executive Vice Chancellor shall conduct a five-year review of each less than 100% time Faculty Administrator to determine if reappointment to another term is warranted. The administrative review process is separate and distinct from the academic merit process.

Appointees to the titles covered by this policy are at will and the individual serves at the discretion of the Chancellor. Termination of an administrative appointment does not affect the underlying faculty appointment.

III. Salary administration**A. Establishment of salary:**

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

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

B. Additional Compensation:

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

- C. Faculty Administrators are limited to one administrative stipend at any given time. Exceptions may only be approved by the Executive Vice Chancellor and will occur only in rare and unusual circumstances.
- D. Periods of leave:
Administrative stipends will not be paid during periods of sabbatical leave or other extended leaves of absence. If necessary, an acting administrator may be appointed during the term of the leave. In some cases administrative service may be substituted for the teaching requirement of a sabbatical leave in residence (Red Binder VI-2.)

IV. Appointment process

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

Department Chairs

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

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

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

Directors

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

V. Duties of the Department Chair

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

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

OTHER ADMINISTRATIVE APPOINTMENTS

(Revised 4/15)

Service to the Campus and University is expected of every faculty member. In rare circumstances it may be appropriate to compensate faculty for short-term administrative assignments beyond those listed in Red Binder V-31. Examples include but are not limited to Chair of the Program Review Panel (PRP) or WASC Liaison Officer. Compensation for such service will normally be made via an administrative stipend. All administrative stipends must be approved by the Executive Vice Chancellor. Requests for new administrative stipends will be reviewed by the Associate Vice Chancellor for Academic Personnel prior to final approval by the Executive Vice Chancellor. Rates will depend on the scope of the assignment's responsibilities. Stipends are not subject to general range adjustments. Faculty are limited to one administrative stipend at any given time (including stipends for Faculty Administrators at less than 100% time). Exceptions may be approved by the Executive Vice Chancellor and will occur only in rare and unusual circumstances.

SECTION VI: LEAVES AND COMPENSATION

VI-1
LEAVES OF ABSENCE
(Revised 5/17)

Policies on Leaves of Absence for both academic-year and fiscal-year appointees are outlined in APM 700 – 760 and the applicable memorandum of understanding for represented employees. The following contains procedures on the Santa Barbara campus relating to these policies.

I. General

- A. Specific regulations have been established by The Regents and the President on certain types of leaves of absence. These are:
- Sabbatical Leave (APM 740)
 - Sick Leave (APM 710)
 - Family and Medical Leave (APM 715)
 - Vacation (APM 730)
 - Holidays (APM 720)
 - Leave to attend Professional Meetings (APM 752)
 - Miscellaneous Leaves (APM 750, 751, 758, 759)
 - Parental Leave, Childbearing and Active Service Modified Duties (APM 760)
- B. Because academic-year appointees are expected to be present from the beginning of the Fall quarter through the end of the Spring quarter, any appointee returning after the beginning of the Fall quarter or leaving before the end of the Spring quarter, should apply for a leave of absence in accordance with the applicable policy.
- C. All faculty (Senate and non-senate) must submit their leave request to the Department Chair at least 45 days in advance of the begin date of the pay period of the quarter in which the leave is to be taken, unless circumstances beyond the control of the faculty member make this impossible. Requests for sabbatical leaves must be submitted three months in advance of the begin date of the pay period for the leave. Appointees in other titles are encouraged to submit leave requests as early as possible.
- D. Leave requests for periods of more than seven calendar days (other than vacation and sick leave for those in accruing titles) must be forwarded to the Dean or Associate Vice Chancellor for Academic Personnel for approval, accompanied by a memo from the Department Chair or Director endorsing the leave (see IV below). Leave requests for more than 30 days also require input into the payroll system. **NOTE:** A leave without salary must be entered into the payroll system regardless of the length of the leave.
- E. Senate faculty requesting a leave that will involve category I outside professional activities (Red Binder I-29) must also request prior approval of the category I activities via AP Folio.
- F. All academic employees are covered by FML, CFRA and FEHA. In most cases university policy provides greater coverage than that required by State and Federal law. Please see the appropriate APM sections, as listed above, or memorandum of understanding article for information concerning coordination of University policy and State and Federal Law. FML will normally run concurrently with other approved leave.

II. Leaves and the Eight Year Probationary Period; Assistant Professors, Lecturers PSOE, and Assistant Researchers

- A. Childbearing, Parental Leave or a combination of both, of one quarter or more whether with or without salary, is automatically excluded from service toward the eight-year probationary period. The employee (Assistant Professor, Lecturer PSOE, or Assistant Researcher) must inform the Department Chair in writing within one quarter of the completion of the leave, if he/she wishes the time to be included as service toward the eight-year period. It should be noted that this is considered time excluded from the clock and the employee should not be expected to produce any

additional materials/ publications because of the lengthening of the probationary period. Any materials/publications that are produced, however, should be considered in the next appropriate review.

- B. Periods of Active Service-Modified Duties are included as service toward the eight-year probationary period.
- C. With the exception of Childbearing or Parental Leave as noted in A. above, periods of leave, either with or without salary, are included as service toward the eight-year period. Exception may be granted only if requested in conjunction with the original leave request, or in the case of sick leave, within one quarter or semester after the leave is taken. The Associate Vice Chancellor for Academic Personnel, after consultation with the Committee on Academic Personnel, may determine that the activity undertaken during the course of the leave is substantially unrelated to the individual's academic career.
- D. For purposes of review for advancement or promotion accomplishments produced during the leave period will be considered as part of the total record, but the period of extension shall be excluded when evaluating the rate of research or teaching performance.

III. Leaves and Sabbatical Leave Accrual

- A. Sabbatical leave credit is not accrued during a period of leave with or without pay. Credit will accrue if an absence is for less than one-half of a quarter.
- B. Sabbatical leave credit will accrue during a period of Active Service-Modified Duties when the duties are equivalent to at least 50% of normal duties. When such is the case, the Chairperson's endorsement of a period of Active Service-Modified Duties should include a statement to that effect.
- C. Sabbatical leave credit is not accrued during periods of service when more than 50% of the appointment is paid from extramural grant funding. Payment from extramural funding requires appointment in a Research title that does not allow accrual of sabbatical leave credit.

IV. Approval Authority

Faculty (Senate and Non-Senate)

Medical leaves within APM policy	Dean
All other leaves for up to one year, within policy	Dean
Active Service Modified Duties	Dean
Exceptions to policy	Associate Vice Chancellor
Leaves beyond one year	Associate Vice Chancellor

Senate Faculty

Sabbatical within policy	Dean
Sabbatical - exceptions, negative rec., 5 years no-change	Associate Vice Chancellor

All other Academic Appointees

Leaves covered by vacation and/or sick leave	Department Chair or Director
Active Service Modified Duties	Associate Vice Chancellor
Leaves not covered by vacation and/or sick leave	Associate Vice Chancellor
Exceptions to policy	Associate Vice Chancellor

V. Chair's/Director's Request For Leave Approval Sample Letter

Date

TO: Dean/Associate Vice Chancellor for Academic Personnel

FROM: Department Chair/Director

RE: Request for _____ Leave during 20__-20__ for _____
(Type of Leave) (Name)

I endorse the request of _____ for a _____ leave
(Name) (Type of Leave)
for the period of _____ through _____ [for the _____ quarters.] A
(Date) (Date) (Fall/Winter/Spring)
copy of the written request is attached. _____ will return from the leave on
(Name)

(Date)

The purpose of the leave is to _____
(Explanation)

- For sabbatical leave include the location while on leave, collaborator, if applicable, source and amount of financial support while on leave, sabbatical leave credits to be used and sabbatical leave credit balance, as well as any request for forfeit or liens of sabbatical leave credits).

_____ will receive ____% income from UC during the period of the leave (or will be without salary),
(Name) (percent)
_____ 's assigned courses will be covered by _____
(Name) (Name)

- If PI on a grant include: He/She is a Principal Investigator of a grant and appoints Professor _____ as a substitute for the period with approval of the sponsoring agency. (Name)

I request your approval of this leave.

- For sabbatical leave requests include: Attached you will find a list of other faculty on approved leave during the period.)
- For leaves involving category I outside professional activities include: _____ has received approval to engage in category I outside professional activities during the period of the leave.

Attachment(s): (written request for leave and list of other faculty on leave during the period.)

VI-2
Sabbatical Leave (APM 740)
(Revised 10/11)

Please refer to APM 740 for statement of purpose, definition, concepts, types, qualifying service, exceptions, eligibility, restrictions, compensation, and special appendices. Sabbatical leaves are granted to enable recipients to be engaged in intensive programs of research and/or study, thus to become more effective teachers and scholars and to enhance their services to the University. There are two types of sabbatical leave:

- a) Regular sabbatical leave is leave from all regular duties to enable the individual to devote full-time to research and/or study. 9 sabbatical leave credits are required for each quarter of regular sabbatical leave at full salary. 6 sabbatical leave credits are required for each quarter of regular sabbatical leave at 2/3 salary.
- b) In Residence sabbatical leave is leave during which the faculty member 1) is in physical residence during the quarter(s) and 2) teaches a regularly scheduled class that meets at least three hours per week (this requirement is not fulfilled by a 599 class taught to ones own doctoral/masters students). In exceptional cases significant University service may be substituted for all or part of the instructional requirement. Service must be at the campus or University-wide level and must require a time commitment of equivalent to teaching a regularly scheduled class as described above. Such exceptions require prior approval by the Associate Vice Chancellor for Academic Personnel. 6 sabbatical leave credits are required for each quarter of in residence sabbatical at full salary.

Credit toward eligibility to apply for sabbatical leave is earned through service in the University during each quarter of half-time or more in a ladder rank faculty title. Credit is earned during service as an Acting or Visiting ladder rank faculty if the service is immediately followed by service in the regular ladder rank title. Refer to APM 740-11 for information concerning service in other academic series, fiscal year appointments or periods during which credit does not accrue. Note that deferral of sabbatical leave credits is automatic and no maximum accrual amount is imposed at UCSB.

A faculty member is required to return to University service immediately following a sabbatical leave for a period of time at least equal to the period of the leave. Failure to return to regular service will create an obligation on the part of the faculty member to refund the entire salary received during the leave to the University. Transfer to another UC immediately following a sabbatical does not require repayment of salary. APM 740-16 through 740-19 discusses other restrictions and limitations of sabbatical leaves; and Colleges may have separate restrictions governing obligations following special leaves.

- A. Applications for sabbatical leave shall be submitted to the appropriate Dean via the Department Chairperson. The application shall include:
 1. A statement providing information outlined in APM 740-94.
 2. A memo from the Chair endorsing the leave (Red Binder VI-1, V)
 3. A statement providing the number of credits to be used to support the leave and the balance remaining after the leave.
 4. A list of other faculty with approved leaves.

If five or more years have passed since the last academic advancement the request must also include:

1. An updated bio-bibliography
 2. Copies of reports from any sabbatical leaves taken since the last advancement.
- B. The application must be initiated no later than three months prior to the begin date of the pay period of the proposed leave. The department will receive a copy of the approval letter sent to the faculty member as notification of approval of the leave. No later than 30 days prior to the pay period of the proposed leave, the information should be entered into the payroll system.
 - C. Within ninety calendar days following return from leave, the recipient of a sabbatical leave shall submit to the Associate Vice Chancellor for Academic Personnel a report of the results of the leave. Information to be

included in this report is contained in APM 740-97 and includes:

1. Account of activities during the leave, including travel itineraries, institutions and locations visited, persons with whom there was extensive consultation or collaboration, and any formal lectures delivered.
2. Statement of progress made on the project as proposed in the application.
3. Explanation of any significant changes made in the project.
4. Appraisal of the relationship between the results anticipated in the leave project statement and those actually achieved.
5. Statement of future activity related to the project, including plans for completion of the project and publication of results.

The report will become a part of the supporting materials submitted with any proposal for subsequent promotion or merit increase.

VI-3
SICK LEAVE
(Revised 10/17)

Academic appointees do not accrue sick leave credit with the exception of certain groups listed below and in APM 710-14. Academic appointees who accrue sick leave shall maintain proper records to show accrual and usage of sick leave credit. In the case of illness of faculty (as defined in APM 110 F (15) who do not accrue sick leave, leave with pay up to the maximums described in APM 710-11 a and b may be approved by the Dean. Leaves in excess of the APM maximums require approval of the Associate Vice Chancellor for Academic Personnel.

A. The following are eligible to accrue sick leave credit provided the appointment is at fifty percent or more time:

- Professional research series
- Specialist series
- Project Scientist series
- Librarian series
- Associate and Assistant University Librarians
- Continuing Educator
- Academic Coordinator

B. Appointees who accrue sick leave accrue at the rate of one working day per month for full-time service, including periods of leave with pay other than terminal vacation. Accrual for part time employees is based on the percent time on pay status during the month. See RB VI-8 for accrual codes.

C. Sick leave is to be used in keeping with normally approved purposes related to personal or family member illness and medical care as defined in APM 710-20.

D. Faculty who do not accrue sick leave may apply for medical leave as follows.

If appointed for one year or more the appointee may apply for up to one quarter of leave with pay due to personal illness at a time. A physician's statement assessing the prognosis for return to duty may be requested prior to approval of the leave. Should the illness require an extension beyond the initial quarter of leave with pay, a physician's statement must be provided with the request for extension. Exceptions beyond the APM maximums will be considered on an individual basis. At no time may paid medical leave exceed three consecutive quarters.

If appointed for less than one year, the appointee may apply for paid leave due to personal illness for approximately the period that would be accrued during the appointment in accord with the accrual rates in APM 710-18.

E. Accrued sick leave may also be used to care for an ill family member as defined in APM 710-20. Faculty who do not accrue sick leave may request up to one quarter of leave with pay for the care of a family member as defined in APM 710-20.

F. Sick leave that is granted for a serious health problem, or to care for a parent, child, spouse or domestic partner with a serious health problem may also be covered as a Family and Medical Leave (APM 715). Family and Medical leave will normally run concurrently with approved sick leave.

G. Represented academic employees are eligible for medical leave to the extent allowed in the appropriate memorandum of understanding and applicable state and federal law.

H. Graduate Student Researchers are eligible for up to four weeks of paid leave due to the Graduate Student Researchers own serious health condition, or to care for a family member who has a serious health condition. In addition, a parent other than the birth-mother is eligible to use this paid leave for baby-bonding and will be eligible for up to another two weeks of unpaid leave for baby-bonding. The total period of combined pregnancy, childbirth, medical (Red Binder VI-4 H), and sick leave may not exceed six-weeks within an academic year.

VI-4
CHILDBEARING LEAVE AND PARENTAL LEAVE
(Revised 10/17)

- A. Academic appointees are eligible for childbearing and parental leave as guaranteed by applicable state and federal law, including but not limited to, the Federal Family and Medical Leave Act (FMLA), the California Family Rights Act (CFRA), and the California Fair Employment and Housing Act (FEHA). In addition, the University provides leave benefits as follows:
- B. An academic appointee who accrues sick or vacation leave shall be granted childbearing leave with full pay to the extent of her sick or vacation leave balance. Childbearing leave may be may also be covered as a Family and Medical Leave (APM 715). Family and Medical leave, if applicable, will normally run concurrently with approved childbearing leave.
- C. An academic appointee who does not accrue sick leave and who has served in her title or any faculty title for at least one year will receive full pay for up to 6 weeks during the period of time she is unable to assume her normal University obligations due to the birth of a child.
- D. An academic appointee who does not accrue sick or vacation leave and who has served in her title for less than one year will receive full pay for approximately the period that would be accrued during the appointment in accordance with the accrual rates in APM 710-18. If additional time is needed, leave without pay will be granted for the necessary period. However, members of the Academic Senate will be covered by C) above, regardless of length of service.
- E. Academic appointees are eligible for parental leave for purposes of carrying out childbearing and/or childrearing responsibilities. Whenever possible, parental leaves should be requested at least three months in advance. Parental leave without pay may be granted for up to one year to any academic appointee for the purpose of caring for a child. Normally, this unpaid leave, when combined with childbearing leave and/or Active Service Modified Duties, shall not exceed one year for each birth or adoption. A leave cannot be approved beyond the end date of the appointment.
- F. Requests for childbearing leave or parental leave must be submitted via the Department Chair or Director to the Dean or Associate Vice Chancellor for Academic Personnel for approval. A childbearing leave request should include a statement of the projected delivery date. The period of the leave may be adjusted as necessary after approval.
- G. Represented academic employees are eligible for childbearing leave to the extent allowed in the appropriate memorandum of understanding and applicable state and federal law.
- H. Graduate Student Researchers are eligible for up to six weeks of paid leave for pregnancy, childbirth, or related medical conditions for the period prior to, during, and after childbirth and up to two additional weeks of unpaid leave for baby bonding. The total period of combined pregnancy, childbirth, medical, and sick leave (Red Binder VI-3 G) may not exceed six-weeks within an academic year.

VI-5
ACTIVE SERVICE- MODIFIED DUTIES
(Revised 9/18)

- A. Periods of Active Service-Modified Duties, with pay, shall be granted on request to any academic appointee who is responsible for 50 percent or more of the care of an infant for the period before and/or immediately following a birth, or adoption of a child under age five, in order that the parent can prepare and/or care for the infant or young child. Active Service-Modified Duties is not a leave, but rather a reduction of duties. Eligibility for Active-Service Modified Duties will normally extend from 3 months prior to 12 months following the birth or placement. The period of Active-Service Modified Duties must be concluded within 12 months following the birth or placement. During this period normal duties shall be reduced. For represented non-senate faculty, the accommodation may involve the assignment of additional resources. Duties to be assumed during this period shall be arranged between the Department Chairperson and the appointee.
- B. For appointees who do not accrue sick leave, periods of Active Service-Modified Duties at full pay shall be granted upon request.
- C. For appointees who accrue sick leave, periods of Active Service-Modified Duties shall be granted upon request. Sick leave shall be used in proportion to the reduced work-load. If sick leave credit has been exhausted, there shall be an appropriate reduction in pay.
- D. Requests for periods of Active Service-Modified Duties must include a written statement by the academic appointee certifying that she/he has 50 percent or more of the responsibility for the care of an infant or young child. In addition, a statement describing the modified duties must be included with the request and is subject to the approval of the appropriate Dean or the Associate Vice Chancellor for Academic Personnel.
- E. An individual other than the birth mother will be eligible for up to 12 weeks (fiscal year appointee) or one quarter (academic year appointee) of Active Service-Modified Duties for each birth or adoption. The birth mother will be eligible for up to 36 weeks (fiscal year appointee) or three quarters (academic year appointee) of Active Service-Modified Duties, or childbearing leave plus Active Service-Modified Duties.

VI-6
VACATION
(Revised 08/12)

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

VI-7
OTHER LEAVES
(Revised 5/17)

- A. An academic appointee may be granted a leave with or without pay to attend a professional meeting or for University business. If the leave is for seven calendar days or less, APM 752 or applicable memorandum of understanding articles apply and the Department Chair or Director has authority. If the leave is without pay, the leave must be entered into the payroll system.
- B. Leaves of 8 or more calendar days are covered by APM 758 and 759 and applicable memorandum of understanding articles. Leaves not covered by vacation or sick time require approval of the appropriate Dean or the Associate Vice Chancellor for Academic Personnel. Applications for such leave are made by written statement from the employee and endorsement by the Department Chair or Director. Leaves of more than 30 calendar days must be entered into the payroll system.
- C. Academic employees may be granted up to a one-year leave of absence without salary for professional development or personal reasons upon approval of the appropriate Dean or the Associate Vice Chancellor for Academic Personnel.
- D. Extension of a leave of absence beyond one year, whether with or without pay is not automatic and is granted only when there is a clear benefit to the campus. If an academic employee member accepts an academic or professional position elsewhere, the presumption is that additional leave will not be granted. Leaves that extend beyond one year require approval of the Associate Vice Chancellor for Academic Personnel.
- E. Lecturers in the SOE series are eligible for Educational Leave. Educational Leave is granted for the purpose of allowing Lecturers in the SOE series to engage in intensive programs of study and/or professional development, thus to become more effective teachers and scholars and to enhance their services to the University. Leave credit accrual and usage will follow the policies for accrual and use of Sabbatical Leave credits (Red Binder VI-2) Leave credit will accrue at the rate of one credit per quarter of service at 50% time or more in a qualifying title (Professor or Lecturer SOE series appointments). Nine credits will be required to support one full quarter of leave. A return to University service, equal to the time period of the leave, will be required. Failure to return to service will create an obligation on the part of the lecturer to refund the entire salary received during the leave. The process to apply for a leave as well as reporting requirements will be the same as for ladder faculty sabbatical leaves (Red Binder VI-2)
- F. Special Research leaves may be granted to allow a faculty member to accept a fellowship from an external agency. Such fellowships normally require a full release from Professorial responsibilities. In situations where the funding agency pays the faculty member directly, the faculty member will be put on a leave without salary with a dos code of LNS in payroll. In situations where the funding is administered through UCSB, the faculty member will be put onto a Professional Researcher appointment (9/12 basis) at a percentage that reflects the percentage of full salary that will be covered by the fellowship with a dos code of LWS in payroll.

If the faculty member is receiving a supplement to the leave in exchange for sabbatical leave credits, that portion of pay will be reflected on the Professorial appointment with a dos code of SLN in payroll. Faculty should be aware that not all fellowships include funding for benefits and should consult with the College prior to the period of the fellowship to determine the best options for their situation. The College providing the supplement may require a return to UCSB service, similar to the return to UC service required for sabbatical leaves.

VI-8
ACADEMIC LEAVE ACCRUAL CODES
 (Revised 11/15)

<u>Type of Appointment</u>	<u>Accrual Code</u>
Appointments made on 9/12 or 9/9 basis:	
Academic Coordinators 9/9	F
Academic Coordinators 9/12	F*
All other 9/9 and 9/12 appointments	N
Appointments made on 11/12 basis (other than GSR):	
Less than 6 months, less than 50% time	N
Less than 6 months, 50% time or more	F
6 months or more, less than 50% time	N
6 months or more, 50% time or more	D
Graduate Student Researchers:	
Less than 12 months at any percent time	N
12 months or more, less than 50%	N
12 months or more, 50% or more	E
Postdoctoral Scholars	N
(note: Postdoctoral Scholars accrue sick leave but it must be tracked outside of the payroll system)	

N= no vacation, no sick leave

D= 16 hours vacation, 8 hours sick leave at full time. Prorate based on percent time.

E= 16 hours vacation at full time. Prorate based on percent time. No sick leave accrual

F= No vacation. 8 hours sick leave at full time. Prorate based on percent time.

*For 9/12 Academic Coordinators sick leave is only accrued for the 9 months of service. Accrual must be manually adjusted at this time to equal 6 hours per month over the 12 months of pay or 8 hours per month for only the months of service.

VI-9
COMPENSATION
(Revised 9/18)

Academic- year appointment

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

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

Fiscal-year appointment

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

Regular compensation

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

Academic employees are considered exempt if they 1) have a primary appointment in a teaching or student title, or 2) have earnings that exceed the Department of Labor threshold for exempt/non-exempt classification.

Exempt employees are paid on a percentage basis at a monthly rate on the monthly (MO) pay cycle, with the exception of Readers and Remedial Tutors who are paid on an hourly pay rate, with positive reporting of time. Non-exempt employees will be paid at an hourly rate, based on hours reported on the bi-weekly (BW) pay cycle. Non-exempt employees are eligible for over-time pay if they work more than 40 hours in a week. For employees with multiple appointments, the determination regarding exempt/non-exempt status will take into consideration all appointments.

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

Flat-rate (BYA and TST) payments

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

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

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

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

Initial Employment

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

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

VI-10
ADDITIONAL COMPENSATION
 (Revised 04/18)

General Policies

Reference: APM 660

Additional compensation is any compensation, paid to an academic appointee by the University in excess of their full-time salary. The term "University" includes all campuses within the UC system. The term "additional compensation" refers only to compensation paid through the University payroll system and is not used to refer to compensation for employment outside of the University.

Additional compensation during the Summer quarter is allowed for academic appointees paid on a 9/12 basis. This is possible because the individual works for the University from September through June, but receives 12 paychecks spread over the year. If they do additional work for the University during the Summer, they can be paid additional money. They will continue to receive their regular pay as well as the additional compensation. All ladder rank faculty, as well as those in the Visiting Professors, Adjunct Professors, and Lecturer SOE series are eligible to earn additional compensation. Non-Senate faculty (Lecturer, Supervisor of Teacher Education, etc.) may also earn additional compensation subject to Article 37 of the Memorandum of Understanding. Additional compensation payments for research activities are made at the 1/9th rate based on the annual salary at the time of the activity. Additional Compensation payments for Summer Session teaching are made on a flat rate basis. The total additional compensation during the summer may not exceed the equivalent **of 3/9ths of the faculty member's annual salary.**

Additional compensation during the academic year is allowed only for duties not directly related to the individual's recognized University duties. Examples of this include department chair stipends, Extension teaching, lectures given on other UC campuses and faculty consulting.

Additional compensation for fiscal year academic employees is generally not allowed, with the exception of some types of honoraria and Summer Session teaching.

Red Binder VI-14 and VI-17 provide further detail regarding specific types of additional compensation.

Other than the specific types of service covered by policy and applicable bargaining agreements, Academic appointees may not be employed beyond 100%.

Additional compensation for the summer period is calculated using the "Daily Factors 19-day Chart (Red Binder VI-12). The chart is used to determine the percentage of time and effort equivalent to the number of summer days worked. Each day during the summer can only be used once and the total percent time for each day may not exceed 100%.

Summer additional compensation may only be earned during the designated summer period. This is the time period from the day following the last day of final exams in the spring, through the last day before classes start in the fall. The dates represent the available days in each month of the summer period. This information will be updated on an annual basis. For transactional purposes the service days are converted to a percentage spread over the coinciding pay period. Because available service dates may exceed 19 in a given month, service days beyond 19 in a month may be paid on a secondary position/job up to the maximum allowable percentage of time in the service month.

Dates for 2017 Additional compensation

Dates for 2018 Additional compensation

<u>Month</u>	<u>Number Of Days</u>	<u>Percent time</u>	<u>Pay Dates</u>	<u>Service Dates</u>	<u>Max Days</u>	<u>Max % time</u>
June 19-30	10	.5263	June 1-30	June 18-30	10	.5263
July 1-31	21	1.1053	July 1-31	July 1-31	22	1.1579
Aug. 1-31	23	1.2105	Aug. 1-31	Aug. 1-31	23	1.2105
Sept. 1-12	16	.8421	Sept. 1-30	Sept. 1-21	15	.7895

VI-12
19-DAY CHART
(Daily Factors)
(Revised 04/13)

Number of Working Days in the Month that will be used	Distribution Percentage to be used	Number of Working days in the Month that will be used	Distribution Percentage to be used
1	.0526	13	.6842
2	.1053	14	.7368
3	.1579	15	.7895
4	.2105	16	.8421
5	.2632	17	.8947
6	.3158	18	.9474
7	.3684	19	1.000
8	.4211	20	1.0526
9	.4737	21	1.1053
10	.5263	22	1.1579
11	.5789	23	1.2105
12	.6316		

When using the 19-day chart, 3/9ths is equal to 57 working days (not 3 calendar months). This is based on the average number of working days in a regular academic quarter. Working days are defined as Monday through Friday, including paid holidays. Additional compensation may, therefore, never exceed a total of 57 working days during the summer period. A distribution line on the payroll system may show in excess of 1.0000 in a given month, provided that the total compensation is to exceed one month (19 days). If a total of 2/9ths is to be received, the individual could receive more than 1/9th in the first month (distribution line showing more than 1.0000), and the remainder in the second month for the total distributions to equal 2.0000.

VI-14
EXTRAMURALLY FUNDED RESEARCH
(Revised 9/18)

Payment During the Academic Year

During the academic year a faculty member may not use grant funds to earn in excess of his or her regular 100% salary. The faculty member may, however, with the permission of the Chair and Dean, use the grant funds in place of a portion, or all, of his or her regular state funded salary for a limited amount of time. This is called a release to grant, it is **not additional compensation**. The salary being paid from the grant funding must be paid under a Professional Research title, rather than the Professor title. Payments are made on the same basis and at the same pay rate as the Professor appointment (9/12). The earn code used is REG.

A faculty member may be paid from a fellowship administered through UCSB. Payments during the academic year are considered leaves with pay (see Red Binder VI-7F).

Payment during the summer:

During the summer a faculty member may earn additional compensation from extramural contracts and grants (Red Binder VI-10.) The payments are made using the Professional Researcher- 1/9th title code and pay rate, and the earn code **ACR**. Additional research compensation during the summer period is calculated using the Daily Factors 19-day Chart. The chart is used to determine the percentage of time and effort equivalent to the number of summer days worked. The total percent time for each day in the summer may not exceed 100%. However, total earnings in a calendar month may exceed 100% as indicated on the Daily Factors 19 day chart. (Red Binder VI- 12) Payment is to be issued at the pay rate in effect at the time of the service.

Funding restrictions:

While faculty are in general allowed to receive up to a maximum of 3/9ths summer pay, some funding sources may contain restrictions that further limit the allowable total. Faculty and departmental staff must observe these limitations.

For example, faculty earning summer compensation from NIH sources, the NIH salary cap must be observed. If the NIH cap figure is lower than the faculty member's annual salary rate, it will not be possible to earn a full 3/9ths from the NIH grant. The NIH cap figure must be used as the annual rate for the summer payments, and the 19-day chart and the maximum of 57 days must still be observed. Funds subject to the NIH cap are paid out using the earn code of **ARC with a pay rate equal to or less than the NIH cap figure**.

It is possible for the faculty member to receive summer compensation from other sources as long as the total does not exceed 3/9ths. Additional sources may include; summer session teaching, chair stipends or payment of an NIH salary supplement (title code 3998). The salary supplement may not be paid from contract or grant funds. Acceptable supplement sources include gift or endowed chair funds or other unrestricted funds. NIH salary supplements are paid on a flat rate basis using the earn code of **AAC**.

VI-15
INTERCAMPUS PAYMENTS
(Revised 9/18)

Reference: APM 666

One-time Payments

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

One-time honoraria payments are allowable up to \$2,500 per event, and up to \$5,000 by exception, requiring the approval of the Associate Vice Chancellor for Academic Personnel. During the academic year the total earned for lectures and similar services may not exceed 10% of the individual's annual salary. Payment will be made using the earn code of **HON**.

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

Multi-campus appointments

In situations where an academic employee is simultaneously employed on two campuses approval from the appropriate Dean's office and/or Academic Personnel office must be obtained **prior** to the processing of the Temporary Intercampus or Multi-campus Appointment Form. The total percent time on the two campuses may not exceed 100%. The employee will continue to receive a single paycheck, either from the home campus or via UCPath, with accounting processing payroll transfers from the host campus when both campuses are not yet on UCPath.

Processing of forms

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

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

VI-17
OTHER ADDITIONAL COMPENSATION
(Revised 9/18)

I. Summer Session teaching

Reference: APM 661-14

Faculty may receive additional compensation for teaching Summer Session classes. The Summer Session's staff performs the payroll transaction, rather than departments. **NOTE:** These payments count towards the 3/9ths maximum that may be earned during the summer.

Summer Session payments are always calculated based on the 6/30 pay rate rather than the 7/1 pay rate. The earn code **ACS** is used for individuals who are eligible for UC retirement contributions on Summer Session earnings. Days used for summer session payments may overlap days used for other types of summer compensation; however, the 3/9ths maximum may not be exceeded.

The earn code **ASN** is used for individuals who are not eligible for UC retirement contributions on Summer Session earnings. This is not considered additional compensation.

Full time fiscal year employees wishing to teach Summer Session classes may not earn additional compensation. The regular employment must be reduced to accommodate the Summer Session teaching so that total employment does not exceed 100% time.

II. University Extension

Reference: APM 662, appendix B-2

Faculty may teach courses through University Extension. These payments count towards the 3/9ths maximum that may be earned during the summer if the teaching takes place during the summer months. If a faculty member is earning 3/9ths from other sources during the summer, they may in addition earn compensation from University Extension equal to one day a week during the period in which additional compensation may be paid. During the academic year, payments are subject to the University limits relating to outside professional activities (Red Binder I-29). The earn code **ACX** is used for current University faculty employed at 100% time who are teaching as additional compensation.

The earn code **UNX** is used for individuals who only teach through Extension or who are employed at less than 100% time. This is not considered additional compensation.

III. Faculty consultant services

Reference: APM 664

A faculty member may receive additional compensation for consulting on projects conducted under the auspices of the University if the consulting does not fall within the normal duties of the individual. The rate is negotiated, but may not exceed the daily rate plus 30%. The additional 30% is in consideration of the fact that no benefits are paid on the salary. If payment is to come from a grant, the grant should first be reviewed to assure that consultant payments are allowed. Payments are allowed during both the academic year and the summer months. During the summer the compensation counts toward the 3/9ths limit. For academic-year employees the daily rate is figured by dividing the annual salary by 171. For fiscal-year 11-month employees the daily rate is figured by dividing the annual salary by 236.

The payment is made as additional pay using the earn code of **ACF**.

IV. University awards

When University awards such as the FCDA and Regents' Fellowships are granted, the Department will be instructed as to the proper payment methodology. The earn code of **ADC** will be used for percentage based (1/9th) awards, and the earn code of **ACN** will be used for flat rate awards.

V. Department Chair and Director stipends

Department Chairs and Directors are paid a monthly stipend with an earn code of **STP** on an 11/12 basis at the rate approved by the Executive Vice Chancellor. Red Binder V-31 provides further detail regarding part-time administrative appointments. Chair and Director stipends paid during the summer months do not count towards the 3/9ths limit.

VI. Start-up and retention research support

Research support from state or gift funds, usually associated with start-up or retention packages, is to be paid using the Daily Factors 19-day chart consistent with the methodology for summer research payments from extramural sources (see Red Binder VI-14).

VII. Dean's summer research compensation

In accord with Red Binder V-28 III D. Deans may be paid summer research funds in exchange for vacation time. Payments are to be made using the Dean title code, the 1/12th rate as the distribution rate, and the earn code of **AFR**.

VIII. Honoraria

Academic employees may receive honoraria for work related to University-sponsored conferences and panels, or creative work unrelated to the primary job responsibilities. Honoraria may not be paid using State funds. When work of this type is performed at a different UC campus, the payment is processed via an intercampus payment (see Red Binder VI0-15). When the work is performed at UCSB, it may be paid through the payroll system as an honoraria, using the earn code of **HON**. One-time honoraria payments are allowable up to \$2,500 per event, and up to \$5,000 by exception, requiring the approval of the Associate Vice Chancellor for Academic Personnel.

VIII. Other Summer Additional Compensation

Occasionally payment for other non-teaching, non-research work may be appropriate. In such cases the Academic Personnel office should be consulted to determine the appropriate title code and earn code to be used.

VI-18
SHORT WORK BREAK
9/18

An employee may be put on Short Work Break (SWB) in specific situations where there is a break in paid service to the University. SWB should only be used when there is an intent for return to paid service within a specified period of time. The return does not necessarily have to be to the same job.

SWB does not constitute an offer of future employment. Appropriate processes for future appointments must be followed according to the appropriate Red Binder and contractual policies.

During SWB the employee may not perform any duties for the University. SWB may be used in the following situations:

Academic Student employees (GSRs, TA, Associate, Reader, Remedial Tutor)

The employee may be put on SWB status during summer or during academic quarters in which there is no appointment. SWB is limited to four consecutive months and may only be used when there is an intent to return to student employment at the end of the SWB.

Lecturers (pre-six or Continuing)

The employee may be put on SWB in between quarters of active employment. The employee may or may not be eligible for a benefits bridge. SWB is limited to two consecutive quarters (plus summer). Pre-six Lecturers must have an approved job to which they will return at the end of the SWB.

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.

At the end of a SWB the employee must either return to paid employment or the job must be ended.

The Short Work Break matrix, <https://ap.ucsb.edu/resources.for.department.analysts/ucpath/> , provides additional guidance regarding the use of SWB.

VI-22
APPLICATION FOR ALIEN SALARY ADVANCE
(Revised 9/18)

The Alien Salary Advance procedure was established to assist incoming alien academic appointees who need monetary assistance while getting settled in the United States. This fund is only available to those who have entered this country within the last 6 months.

An alien salary advance may be requested for up to \$8,000.00. The advance must be paid in full thirty days prior to the ending date of the appointment or within six months of arrival, whichever comes first.

Advances are not available (except on rare occasions) until the first day of the employee's appointment. The employee may apply three to four days prior to the beginning date of the appointment to allow for processing of the application.

The application for the advance should include the following, which is prepared by the department:

- 1) The request should be made on departmental letterhead, addressed to the Associate Vice Chancellor, explaining the reason for the advance request; the amount; and the monthly repayments most convenient for the applicant. This letter should include the department chair's signature as well as the applicant's signature.
- 2) The department prepares a Form 5 check-request with the following information: The name of the person receiving the check, the reason for the check (i.e., "Alien Salary Advance"), the amount, and the departmental contact for check pick-up.
- 3) A copy of the appointment letter with final approval.

The Associate Vice Chancellor will approve the letter of request, sign the check request, and send the forms to Accounting for processing. Questions concerning alien advances should be directed to Academic Personnel, extension 3445.

VI-23
F.W. DOHRMANN LOAN FUND
(Revised 9/18)

The F.W. Dohrmann Loan fund has been established to provide short- term emergency loans to Senate faculty. The fund is supported by an endowment held at the Office of the President. The purpose of this loan is to supply funds in the case of unusual circumstances involving real and personal hardship.

Loans are reviewed and considered on a case by case basis and may not exceed \$5,000. Loans will be repaid through payroll deductions and will normally be repaid within one year of issuance or at least 30 days before the ending date of the appointment, whichever comes first. Loans repaid within one year will be charged no interest. In the event that a loan is, by exception, extended beyond one year, interest will be charged at a rate of 5% per annum.

The Dohrmann loan is not intended for recurrent use, but for very occasional emergencies. Because this is a revolving account, repayment is encouraged as soon as possible, so that funds are available for other faculty members.

To request a Dohrmann Loan, the [Loan application form](#) must be completed, signed, and submitted to the Associate Vice Chancellor for Academic Personnel.

Once a request has been received by the Associate Vice Chancellor, it may take up to 3 business days to approve and issue the loan. Upon approval of the loan, the recipient will be notified by phone and asked to sign an Unsecured Promissory Note, which will authorize the payroll deduction of the loan repayment.

Questions regarding eligibility may be directed to the Academic Personnel office at x3445.

VI-26
SEPARATIONS
(Revised 9/18)

Resignation or Retirement

Senate Faculty

A faculty member may only resign or retire as of the end of an academic quarter (pay end date of October 31, February 28 or June 30). Faculty should strive to notify the department as far in advance as possible of the separation. It is preferable that the notification be done in writing, with the department providing a copy to the appropriate Dean's office and to Academic Personnel.

In cases of resignation, the separation information must be entered into UCPATH by the department. In cases of retirement of an Associate or full Professor, the faculty member attains emeriti status immediately upon retirement. The separation and rehire into emeriti status should be completed following the instructions in the Frequently Asked Questions, UCPATH on the Academic Personnel website at <http://ap.ucsb.edu/>.

All other academic employees

Academic year employees may only resign or retire as of the end of an academic quarter, using the appropriate pay period end dates dependent on the employee's 9/9 or 9/12 status. Fiscal year employees may resign or retire at any time. The department is responsible for entering the termination of the job or the separation from the University into the payroll system.

Death

When a current academic employee or emeritus faculty member dies, the department should notify the appropriate offices in a timely manner following the procedures below. This insures proper dispersal of benefits to survivors and it enables agencies to keep their records up-to-date. It also allows the Chancellor to publicly recognize the individual's service to the campus, and in memory of service, the campus flag will be lowered.

Procedures:

1. Notify the Chancellor, Associate Vice Chancellor for Academic Personnel and the Vice Chancellor for Administrative Services and supply a brief biography which includes:
 - a. Full name, title, and department
 - b. Date of birth
 - c. Date of death
 - d. Name and address of next of kin
 - e. Length of service to the university
2. Notify the Benefits Manager (ext. 2489).
3. The Academic Personnel Office UCPATH team will complete UCPATH input.

SECTION VII: ACADEMIC SEARCHES

VII-1
POLICIES ON OPEN RECRUITMENT FOR ACADEMIC APPOINTMENTS
(Revised 5/17)

It is the policy of the University of California not to engage in discrimination against any person seeking employment with the University. In addition, it is the policy of the University to undertake affirmative action, consistent with its obligations as a Federal contractor. Conducting open searches for employment positions supports the University of California in fulfilling its requirements under federal and state laws. The University of California Affirmative Action Guidelines for Recruitment and Retention of Faculty, Office of the President, Academic Advancement, are available at: <http://policy.ucop.edu/doc/4000376/NondiscrimAffirmAct>

An open recruitment is required for all academic positions unless the recruitment is exempt under the specific criteria listed in section II below.

I. Recruitment types and requirements

As appropriate, a Department will recruit both within and outside the workforce to obtain diverse pools of qualified applicants. For Senate faculty the level of position advertised is based on the level of search approved by the Executive Vice Chancellor. Non-Senate searches may be at a specific rank or at open rank.

External Recruitments are open to all applicants and are listed in various off-campus publications and the UC Recruit job board. Typically, external recruitments generate the largest and most diverse applicant pools consistent with the campus commitment to equal opportunity and diversity.

In some unique situations, an internal recruitment may be utilized so long as it is consistent with equal employment and affirmative action objectives and results in a diverse pool of qualified applicants. Internal recruitment requests require consultation, prior to the beginning of the recruitment, with the Office of Equal Opportunity & Discrimination Prevention and Academic Personnel.

Recruitments may be conducted in the following ways:

One-time recruitment: The recruitment is advertised for the duration of the recruitment for a specific position or positions. Most often the one-time recruitment will be for a single hire, however occasionally a single recruitment may yield multiple hires. This may be either the result of multiple positions being available at the beginning of the search, or may occur through a special request to make multiple hires. Requests to make multiple hires from a Senate Faculty search originally designated as a single hire will be initiated by the Department Chair and submitted to the Executive Vice Chancellor via the Dean. The Dean will be asked to provide additional information concerning the FTE to be used for the additional hire, and the Executive Vice Chancellor will consult with the Academic Senate as appropriate. Requests to make multiple hires from a non-senate search originally designated as a single hire are to be addressed to the Associate Vice Chancellor for Academic Personnel.

Standing pool recruitment: A standing pool recruitment may be used to fill multiple positions at various times for temporary research or teaching positions. Pooled recruitments may be advertised for no longer than one year. All standing pool recruitment advertisements must be terminated on October 31, annually. New advertisements may begin after November 1 of each year. This is to ensure compliance with federal data reporting requirements.

II. Exemptions from Open Recruitment Policies

- A. Appointment to temporary academic administrator positions by individuals already holding an academic appointment
- B. Recall appointments
- C. Visiting appointments in the Professor, Researcher, or Project Scientist series. The individual must be a “true visitor” i.e. on leave from or retired from an equivalent position at another academic institution.

- D. Appointees within Unit 18, who have previously undergone open recruitment in the same department for a Unit 18 position without a significant break in service.
- E. Positions requiring student status, e.g. teaching assistant, graduate student researchers or trainee status, e.g. Postdoctoral Scholars.
- F. A modification of the current position from one Senate series to another (i.e. Lecturer SOE to Professor) or one non-senate research series to another (i.e. Project Scientist to Researcher) assuming the original appointment had either an open search, an approved waiver or is exempt from search due to without salary status.
- G. Without salary appointments.

Although open recruitment is not required in the above situations, a department may choose to conduct a search. When a search is conducted, all appropriate policies and procedures must be followed.

III. Search waivers

An open recruitment, available to all qualified applicants, is a preferred hiring mechanism since it provides substantial assurance of compliance with University policy and the quality of the individual offered a position. However, special circumstances may on occasion justify a waiver of the search requirement.

A. Non-Senate Titles

1. Emergency Hire: Unexpected circumstances result in insufficient time to recruit: (e.g., unexpected illness, leave of absence of faculty, emergency research need.) Waivers will be granted with a specific end date.
2. Spousal or Domestic Partner Hire: the hire of a spouse or domestic partner in order to initially hire or retain a Senate faculty member. Waivers will be granted for the duration of employment in the job series.
3. PI/Co-PI/Leadership Status: the proposed appointee is the principal investigator, co-principal investigator of a grant/contract, or has been named in the grant/contract for a specific leadership role. Supporting documentation must be available in the departmental file and may be requested as necessary. Waivers will be granted for the duration of the contract or grant.
4. Continuation of Training: the proposed appointee is currently a graduate student researcher or postdoctoral scholar at UCSB and will remain for a short period to complete a research project begun while in the current status. Waivers may not be granted for longer than one year.
5. Research Team: the proposed appointee is part of an existing research team of a new faculty member relocating from another academic institution and will be continuing in the same capacity in the lab. The waiver is valid for the duration of appointment in the same title within the same team.

Consistency with the criteria above does not guarantee a waiver will be granted.

Search waiver requests are initiated by the department through UC Recruit.

The Director of Equal Opportunity & Discrimination Prevention will provide information regarding the impact of the proposed hire on affirmative action goals and the Campus Affirmative Action Plan. The request will then be reviewed by the Dean or Associate Vice Chancellor with approval authority for the requested action. If the request is approved, the department may then submit an appointment case. If the request is denied, an open search will be required.

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 the waiver may be included with the reappointment request and must specify the new end date.

B. Senate Faculty

1. **Partner Hire:** the hire of a partner in order to initially hire or retain a Senate faculty member. In such cases, the partner should have a record and credentials that provide evidence he or she would likely be among the top candidates if an open search had been conducted.
2. **Exceptional Opportunity:** an unusual opportunity to hire an individual who has qualifications that are so uniquely outstanding as to justify the waiver. In all these cases the candidate would be on the short list of top candidates if a full search were conducted, and the individual would be highly sought after by peer institutions. Examples would include an internationally recognized leader in a particular field (e.g., a Nobel Laureate or a Pulitzer Prize winner), an exceptional scholar who would make special contributions to diversity in a particular program or field; or a highly sought after individual who is on the market for a very limited time period. Exceptional Opportunity are normally expected to be at the Full Professor level, but under exceptional circumstances, justified by compelling reasons, they may be at a lower level.
3. **President's Postdoctoral Fellowship Recipients:** the proposed hire is a current or former recipient of a UC President's or Chancellor's Postdoctoral Fellowship.

Consistency with the criteria above does not guarantee a waiver will be granted.

Search waiver requests are initiated by the department through UC Recruit. The department memo must address the following:

- Which category of waiver is being requested.
- The departmental vote on the request for a waiver.
- A report of the departmental discussion of three major issues: 1) the candidate's qualifications; 2) the candidate's programmatic fit within the departmental academic plans; and 3) the source of the FTE and the impact of the appointment on the departmental FTE plan
- In the case of an Exceptional Opportunity request, an explanation why it is not possible to consider the candidate as an applicant in an open search (for example, the individual under consideration is available only for a limited period of time.)

Requests will be routed to the Dean for review. As part of his or her recommendation, the Dean should address the items outlined in #3 above, as well as the programmatic and budgetary impact within the department and on a divisional or college wide basis. If the Department has not identified an FTE, the Dean must do so. The Executive Vice Chancellor will consult with the Director of Equal Opportunity & Discrimination Prevention, the Council on Planning and Budget, and the Committee on Academic Personnel prior to making a final decision. The Director of Equal Opportunity & Discrimination Prevention will provide information regarding the request in the context of the Campus Affirmative Action Plan and placement goals. The Council on Planning and Budget will provide guidance regarding resource allocation for the position. The Committee on Academic Personnel will provide an initial assessment of the candidate's qualifications for an academic senate position. If the request is approved, the department may submit an appointment case. If the request is denied, an open search will be required.

In recruitments that are limited to either the Assistant or Associate level, if a candidate is promoted to a higher level at their home institution while the search is in progress, or an appointment at a higher rank is justified by the need to make a competitive recruitment offer (such as a competing offer at a higher rank) the department may request permission to allow appointment at the next highest rank. The request will be forwarded from the department, via the Dean, and Associate Vice Chancellor for Academic Personnel, to the Executive Vice Chancellor. If the request is approved, the department may then submit the appointment case with a request for the higher rank. Additional external evaluation may be required to support the higher rank appointment.

VII-4
**PROCEDURES FOR RECRUITMENT OF
SENATE FACULTY AND OTHER PERMANENT ACADEMIC APPOINTMENTS**
(Revised 9/18)

Before initiating a search, the department chair should review Red Binder I-14 Faculty Appointments, and I-13 Retention of Academic FTE. The department must have an allocated FTE and prior approval from the Executive Vice Chancellor to recruit for the position. For other permanent academic positions (i.e. Librarians) appropriate approval for the use of the FTE must have taken place.

The following steps are to be taken by the Department:

A. Recruiting

1. Form a search committee. The committee must include one faculty member designated as the departmental equity/diversity advisor.
2. Determines the length of the recruitment period.
3. Determines the publications or recruitment sources to be used. Advertising through the JobElephant service is highly recommended to assure Labor Certification requirements are met should the eventual hire be a non-US citizen. If JobElephant is not used, the department should consult with the Office of International Students and Scholars at oiss@sa.ucsb.edu to assure current Labor Certification requirements are met.
4. Sets a realistic deadline for applications so that campus Equal Opportunity & Affirmative Action policy and procedures can be carried out without undue pressures. The advertising period should be long enough to provide the opportunity to attract a reasonable number of applicants and a diverse pool. Permanent positions must be advertised for at least 30 days.
5. Follows established departmental and campus procedures and review criteria for the application process.
6. Completes the Recruitment Plan in UC Recruit. The Recruitment Plan contains all relevant information on how the position will be advertised, how the applicants will be evaluated, and the efforts that will be made to ensure equal employment opportunity and to reach a diverse applicant pool in which women and minorities are represented.
7. Submits the Recruitment Plan in UC Recruit for review and approval by the Department Chair, the Office of Equal Opportunity & Discrimination Prevention, the Dean, and Academic Personnel.
8. Publishes the recruitment in UC Recruit after the Recruitment Plan is approved.
9. Places any additional approved advertisements for the position. Retains all copies of advertisements as they appear in publications and on-line, including the duration of advertisements.
10. Performs all other good faith recruitment efforts to increase the diversity of the pool.

B. Processing Applications and Interviewing

1. After the close date, reviews the quality of application materials. When an applicant pool does not contain sufficiently qualified people to fill a vacancy, it may become necessary to extend or reopen a search. The department is responsible for repeating the requisite steps as necessary.
2. Consults with the Dean's office to schedule the Dean review of the applicants. College requirements may vary.
3. Generates the Short List Report in UC Recruit and submits for approval in UC Recruit by the Department Chair, Equal Opportunity & Discrimination Prevention, and the Dean.

4. Upon receiving the approval of the Short List Report, contacts prospective candidates and invites them to campus for an interview. Additionally, ensures that the proposed interview schedule is appropriate and that it is applied uniformly to all candidates. Departments may reimburse candidates for interview travel and related expenses in accord with IRS regulations and University travel policies. Under exceptional circumstances, if funding is available, a candidate who has accepted an offer may be reimbursed for a single house hunting trip in accord with IRS regulations and University travel policies.

C. Search Report and Hiring Proposal

1. Once a potential hire has been identified, completes the sections labeled "Search Report" in UC Recruit.
2. Updates applicant's status in UC Recruit and enters disposition reasons for all applicants including those who were interviewed but were not selected for the position.
3. Generates Search Report in UC Recruit and submits for approval by the Chair, Dean, and Equal Opportunity & Discrimination Prevention.

VII-5
**PROCEDURES FOR RECRUITMENT OF
TEMPORARY ACADEMIC POSITIONS**
(Revised 9/18)

The following steps are to be taken by the Department:

A. Recruiting

1. Form a search committee, if appropriate. If a committee is formed, it must include one academic employee designated as the departmental equity/diversity advisor.
2. Determines the length of the recruitment period.
3. Determines the publications or recruitment sources to be used.
4. Sets a realistic deadline for receiving applications so that campus Equal Opportunity & Affirmative Action policy, and procedures may be carried out without undue pressures. The advertising period should be long enough to provide the opportunity to attract a reasonable number of applicants and a diverse pool. In no case may a recruitment run less than two weeks.
5. Follows established departmental and campus procedures and review criteria for the application process.
6. Completes the Recruitment Plan in UC Recruit. The Recruitment Plan contains all relevant information on how the position will be advertised, how the applicants will be evaluated, and the efforts that will be made to ensure equal employment opportunity and to reach a diverse applicant pool in which women and minorities are represented.
7. Publishes the recruitment in UC Recruit after the Recruitment Plan is approved.
8. Places any additional approved advertisements for the position. Retains all copies of advertisements as they appear in publications and online, including duration of advertisements.
9. Performs all other good faith recruitment efforts to increase the diversity of the pool.

B. Processing Applications and Interviewing

1. When an applicant pool does not contain sufficiently qualified people to fill a vacancy, it may become necessary to extend or reopen a search. The department is responsible for repeating the requisite steps as necessary.
2. Updates the applicant's status in UC Recruit.
3. Contacts prospective candidates and invites them to campus for an interview. Additionally, ensures that the proposed interview schedule is appropriate and that it is applied uniformly to all candidates. Departments may reimburse candidates for interview travel and related expenses in accord with IRS regulations and University travel policies. Under exceptional circumstances, if funding is available, a candidate who has accepted an offer may be reimbursed for a single house hunting trip in accord with IRS regulations and University travel policies.

C. Equal Opportunity Hiring Proposal

1. Once a potential hire has been identified, completes the sections labeled "Search Report" in UC Recruit.
2. Updates the applicant's status in UC Recruit and enters disposition reasons for applicants including those who were interviewed but were not selected for the position.

3. Generates Search Report in UC Recruit and submits for approval by the Chair, Dean, and Equal Opportunity & Discrimination Prevention.

VII- 7
SUPPLEMENTAL INFORMATION ON ACADEMIC ADVERTISING
(Revised 11/16)

I. General

The Office of Equal Opportunity & Discrimination Prevention, whether the advertising source is free or for a fee, must approve all academic advertisements.

Responsibility for the cost and placement of ads with vendors, distribution of advertisement flyers, etc., is the responsibility of each hiring department. Deans or control points may allocate funds to departments for the purpose of advertising. Costs beyond those allocations are the responsibility of the department.

All academic position advertisements are posted on UC Recruit.

II. Basic Elements of an Advertisement

1. Name of campus department and the academic program where the vacancy is located
2. Job Number—Assigned by UC Recruit at the time the position is posted.
3. Expected recruitment type (external or internal search)
4. Expected hire type (single, multiple, or pooled recruitment)
5. The level of the position if determined (e.g., Assistant, Associate, Open). For Senate faculty positions the level of the position listed in the ad must reflect the approved level of the provision.
6. The area of specialization/research—Preference or emphasis for a particular area of specialization can also be included. For Senate faculty positions the area must reflect the approved area of the provision.
7. The effective date of the position (e.g., effective July 1, 2001; or effective 2001–02)
8. Requirements—List any educational or other academic degree requirements if applicable. Care should be taken to clearly identify required basic qualifications from additional or preferred qualifications for the position.
9. Specify what constitutes a complete application. Departments may wish to request items such as the following:
 - a curriculum vita
 - statement of research interests
 - samples of published work
 - number of references required and the manner by which a letter of recommendation is obtained.
10. Specify a deadline for receiving applications. Whenever possible, Senate faculty searches should set an application deadline between November 15 and December 31. Application deadlines later than February 1 should be avoided when anticipating a July 1 start date. Departments should be mindful of the AAU recruitment deadline of April 30, and the Intercampus deadline of April 1 (APM 500-16).
11. The following wording must be included in each ad: “The University is especially interested in candidates who can contribute to the diversity and excellence of the academic community through research, teaching and service as appropriate to the position.” In addition, the advertisement must end with: “The University of California is an Equal Opportunity/Affirmative Action Employer. All qualified applicants will receive consideration for employment without regard to race, color, religion, sex, sexual orientation, gender identity, national origin, disability status, protected veteran status, or any other characteristic protected by law.”

**UNIVERSITY OF CALIFORNIA
NONDISCRIMINATION AND AFFIRMATIVE ACTION POLICY
REGARDING ACADEMIC AND STAFF EMPLOYMENT**

*University of California
Office of the President*

July 1, 2008

It is the policy of the University not to engage in discrimination against or harassment of any person employed or seeking employment with the University of California on the basis of race, color, national origin, religion, sex, gender identity, pregnancy,¹ physical or mental disability, medical condition (cancer-related or genetic characteristics), ancestry, marital status, age, sexual orientation, citizenship, or service in the uniformed services (as defined by the Uniformed Services Employment and Reemployment Rights Act of 1994).² This policy applies to all employment practices, including recruitment, selection, promotion, transfer, merit increase, salary, training and development, demotion, and separation. This policy is intended to be consistent with the provisions of applicable State and Federal laws and University policies.

University policy also prohibits retaliation against any employee or person seeking employment for bringing a complaint of discrimination or harassment pursuant to this policy. This policy also prohibits retaliation against a person who assists someone with a complaint of discrimination or harassment, or participates in any manner in an investigation or resolution of a complaint of discrimination or harassment. Retaliation includes threats, intimidation, reprisals, and/or adverse actions related to employment.

In addition, it is the policy of the University to undertake affirmative action, consistent with its obligations as a Federal contractor, for minorities and women, for persons with disabilities, and for covered veterans.³ The University commits itself to apply every good faith effort to achieve prompt and full utilization of minorities and women in all segments of its workforce where deficiencies exist. These efforts conform to all current legal and regulatory requirements, and are consistent with University standards of quality and excellence.

In conformance with Federal regulations, written affirmative action plans shall be prepared and maintained by each campus of the University, by the Lawrence Berkeley National Laboratory, by the Office of the President, and by the Division of Agriculture and Natural Resources. Such plans shall be reviewed and approved by the Office of the President and the Office of the General Counsel before they are officially promulgated.

This policy supersedes the University of California Nondiscrimination and Affirmative Action Policy Regarding Academic and Staff Employment, dated January 1, 2004.

¹ Pregnancy includes pregnancy, childbirth, and medical conditions related to the pregnancy or childbirth.

² Service in the uniformed services includes membership, application for membership, performance of service, application for service, or obligation for service in the uniformed services.

³ Covered veterans includes veterans with disabilities, recently separated veterans, Vietnam era veterans, veterans who served on active duty in the U.S. Military, Ground, Naval or Air Service during a war or in a campaign or expedition for which a campaign badge has been authorized, or Armed Forces service medal veterans.

SECTION VIII: FELLOWSHIPS AND SPECIAL PROGRAMS

VIII-1
CAREER DEVELOPMENT AWARDS
(Revised 5/16)

The Career Development Awards are available to Senate Faculty and include three distinct awards and fellowships:

1. FACULTY CAREER DEVELOPMENT AWARD (FCDA)

The **Faculty Career Development Award (FCDA)** program provides Assistant Professors and Lecturers with Potential Security of Employment the opportunity to strengthen their records in research and other creative activity by providing funds to enable them to spend uninterrupted time pursuing research interests or independent study. The FCDA program is specifically geared toward non-tenured faculty who, because of the nature of their position or their role in campus affairs, have encountered significant obstacles in pursuit of their research, creative work, teaching, service, or mentoring obligations, or who have made unusually time-consuming efforts in helping to achieve campus diversity. The FCDA program is also intended to support these faculty in helping the campus in meeting the goals of academic excellence and faculty diversity by ultimately contributing to the recruitment and retention of quality faculty.

Eligibility: Eligible faculty include Assistant Professors and Lecturers with PSOE. Applications may be submitted by faculty who are under review for tenure or security of employment. **However, if the applicant is subsequently awarded tenure or security of employment during the award period, then he/she is no longer eligible.** This policy is consistent with the principal purpose of the program, which is to help eligible non-tenured faculty develop a substantial record in research and creative work necessary for advancement to tenure, and should be taken into account in deciding whether to apply. Faculty are eligible to receive two FCDA awards during their career.

2. REGENTS' JUNIOR FACULTY FELLOWSHIP

The principal purpose of the program is to help eligible junior faculty develop a substantial record in research and creative work necessary for advancement to tenure.

Eligibility: Eligible faculty include Assistant Professors and Lecturers with PSOE. Applications may be submitted by faculty who are under review for tenure or security of employment. **However, if the applicant is subsequently awarded tenure or security of employment during the award period, he/she is no longer eligible.** Faculty are eligible to receive two Regent's Junior Faculty Fellowships during their career.

3. REGENTS' HUMANITIES FACULTY FELLOWSHIP

The purpose of the **Regents' Humanities Faculty Fellowship** program is to encourage and facilitate research, advanced or independent study, or improvement of teaching effectiveness in the humanities by providing supplemental summer or sabbatical leave salary.

Eligibility: The Humanities Fellowship Program is open to faculty members in the regular and acting Assistant and Associate professorial series, Lecturers with PSOE, and Lecturers with SOE regardless of department affiliation. However, awards are recommended only for those whose projects are clearly humanistic (i.e., studies in language, both modern and classical; religion; literature; jurisprudence; philosophy, archaeology, the history, criticism and theory of the arts; and those aspects of history, linguistics and the social sciences that have humanistic content and employ humanistic methods) or in the creative arts (painters, sculptors, composers, writers, poets, stage designers, performers and other artists in creative fields). There is no limitation on the number of awards a faculty member may receive during their career.

An annual call is issued during fall quarter for submission of applications for the Career Development Awards. Awards are normally announced by the end of Winter quarter.

Nature of Support: Career Development Award funding is granted for specific research proposals and related scholarly activities. Two types of awards are available: course release (one course) or summer research funds. Applications specify which type of award is being sought during the application process.

Evaluation Criteria Applications for each award are carefully evaluated with respect to the following criteria:

- a. Quality of the proposal, particularly with respect to potential for long-term career opportunities and development.
- b. Timing of the proposed project in terms of critical periods of career advancement (e.g., tenure appraisal or other impending personnel reviews).

In addition, applications for FCDA award will also be evaluated for with particular consideration given for prior and current obstacles to the development of a record in research and creative work necessary for achievement of tenure and further advancement.

Administration: The program is administered by the Office of Academic Personnel in consultation with the Office of Equal Opportunity & Discrimination Prevention and Deans. The Career Development Award Advisory Committee will review the proposals and make recommendations in each award category to the Associate Vice Chancellor for Diversity, Equity, and Academic Policy.

Reporting Requirements: At the conclusion of the award period, a brief narrative report specifying activities undertaken and the manner in which they contributed to the academic career development of the awardee is required. This report is due one month after fellowship termination and should be addressed to the Associate Vice Chancellor for Diversity, Equity, and Academic Policy. Future awards will not be granted if this report is not received.

VIII-3
HELLMAN FELLOWS PROGRAM
(4/15)

The Hellman Fellows Program was established through a generous gift from the Hellman Family Faculty Fund of the Hellman Family Foundation. The fellowships are awarded annually and are intended to support the research and creative activity of promising Assistant Professors to assist in the successful attainment of tenure.

An annual call is issued during winter quarter for submission of applications. Awards are normally announced by the end of spring quarter.

Eligibility: Assistant Professors who have served at least two years at rank are eligible to apply. Hellman Fellowships may not be received during the year an assistant professor is undergoing tenure review. The Hellman Fellowship is a one-time award.

Nature of Support: Awards may be used for such research-related expenses as research assistants, equipment, or travel. Faculty salaries, including summer salary, are excluded. All funds need not be spent in one year, but recipients must exhaust their funding before they come under tenure review. All expenditures must relate to the project proposed in the Hellman application.

Evaluation Criteria Awards are made without regard to the apparent timeliness or popularity of the field of study; preference will be given to research not substantially supported by other sources.

Administration: The program is administered by the Office of Academic Personnel. An advisory committee will be appointed to review the proposals and make recommendations to the Associate Vice Chancellor for Academic Personnel.

VIII-8
DISTINGUISHED FACULTY
(revised 5/10)

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

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

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

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

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

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

VIII-9
PRESIDENT'S RESEARCH FELLOWSHIP IN THE HUMANITIES
(Revised 9/18)

The President's Research Fellowships in the Humanities provide opportunities for faculty to undertake projects that will enhance humanities research efforts at the University and make contributions to thought and knowledge. Further information and application forms are available at <http://uchri.org/funding/funding-overview-and-calendar/>

Eligibility: All active ladder faculty, including lecturers with Security of Employment, may apply. The Fellowships are intended for a range of full-time University faculty, including those who have already made significant contributions to scholarship and those who are beginning their careers. Faculty may hold a Fellowship once every five years. Assistant Professors will be given special consideration.

Type of Support: The maximum fellowship amount, to be used for salary only, is \$25,000. The total support package will be developed by the Executive Vice Chancellor, in consultation with the Dean of Humanities and Fine Arts. Typically, the fellowship, campus match, and exchange of sabbatical leave credits will total the faculty member's full-time salary during the award period. The faculty member must have accrued a minimum of six credits to receive the College matching contribution.

Evaluation Criteria: Applications will be evaluated on the following criteria:

1. The significance of the contribution that the proposed project will make to thought and knowledge in the applicant's field and to the Humanities general;
2. The clarity and cogency of the conception, definition, organization, and description of the proposed project;
3. The appropriateness of the proposed project goals, strategies, and timetable; and
4. The likelihood that the applicant will complete the project within a reasonable period (not necessarily within the Fellowship year).

Administration: The application and selection processes are administered by the Office of the President. Funding for the Fellowships is provided to the campus by the Office of the President.

Compensation and leave requests: Once awarded the Fellowship, the faculty member must submit a request, via the Department Chair, to the Dean confirming the intent to take the leave and the terms of the leave. The Department Chair should indicate endorsement of the leave and verify that course replacement issues have been dealt with.

The period of the Fellowship will be entered into UCPATH as a paid leave.

VIII-10
PRESIDENT'S POSTDOCTORAL FELLOWSHIP PROGRAM
(Revised 05/10)

The President's Postdoctoral Fellowship Program is intended to encourage outstanding candidates who are committed to careers in research, teaching, and service that will enhance the diversity of the academic community at the University of California. Complete information about the program is available at <http://ppfp.ucop.edu/info/>

Eligibility: Applicants not already holding tenure-rank appointments and applicants who have not already had significant postdoctoral experience will be preferred. For fellowships in the Humanities, Arts and Social Sciences, the program is particularly interested in research which considers issues such as race, ethnicity and gender as they relate to traditional academic fields. For fellowships in Physical Sciences and Engineering, the program will prefer individuals who have participated in teaching, mentoring or outreach programs that promote educational opportunities for under-represented students in higher education.

Evaluation Criteria: Candidates will be evaluated based on the record of scholarship and service and the extent to which these will contribute to the diversity of the University. Special consideration will be given to applicants who demonstrated significant academic achievement by overcoming hardships such as economic, social or educational disadvantage.

Administration: The application and selection processes are administered by the Office of the President. Funding for the Fellowships is provided to the campus by the Office of the President.

Compensation: Fellows will be given awards in combination of stipend and/or research and travel funds. The stipend will be made through the payroll system with appointment as Postdoctoral Scholar, Employee, title code 3252. Appointments are made for one academic year, with the possibility of renewal for a second year.

VIII-11
POLICY ON ENDOWED CHAIRS
(Revised 9/18)

I. References:

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

II. Policy:

- A. Background:

While General Fund appropriations remain the core support for the academic functions of the campus, the establishment of endowed chairs, fully funded through the support of private gifts, provides significant and singular benefit in the development of excellence at UCSB. These gifts permit enriched support for the teaching, research and service responsibilities of especially gifted faculty and provide a means of according such faculty public recognition of their distinguished status. They offer attractive incentives for recruitment and retention purposes. Endowed chairs, endowed professorships and all similar entities are governed by this policy.
- B. Definition:

An endowed chair is a perquisite, supported by income from an endowed fund established by gifts.
- C. Requirements for Establishing an Endowed Chair:
 - 1. The President of the University of California retains authority for establishing and naming endowed chairs. No final commitment for establishing and naming a chair shall be made to a prospective donor prior to Presidential approval.
 - 2. The corpus of a gift consisting of cash, its equivalent, or a legally binding pledge from a donor(s) of at least \$1,000,000 is required to establish an endowed chair.
 - a. A pledge to establish an endowed chair shall be in such form as to constitute a legally binding commitment by the donor. Pledges to The UCSB Foundation shall be supported by a binding pledge from the latter to transfer the income to The Regents at the beginning of each fiscal year to fund the chair.
 - b. Whenever possible, a pledge to fund an endowed chair shall be accompanied by partial payment, preferably at least one-third of the total, and the instrument of gift shall include a proposed payment schedule which shall not exceed a date specified at the time of Presidential approval, except in cases where there is a binding commitment to complete the funding by bequest or similar deferred gift for which there can be no predetermined termination date.
 - c. If a chair is to be funded through a campaign, the recommendation for approval of the chair and the campaign shall be presented simultaneously. Approval of an endowed chair when a campaign is involved, will be contingent upon the receipt of a specified amount by the specified closing date of the campaign, with a provision for optional use of the funds raised should they fall short of the required minimum, or with a commitment from the Chancellor to make up any deficiency from unrestricted funds available to the campus.
 - 3. The subject area of the endowed chair must be consistent with the mission of the University of California and the academic planning statement of the Santa Barbara campus. The designated field for the endowed chair is a matter of negotiation between the donor and the University. Income from the endowment will be dedicated to the academic discipline or area specified by the donor at the time of acceptance of the gift so long as that discipline or specialty remains a program within the academic plan of the campus.

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

D. Appointments:

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

E. Provisions:

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

campus administrator, a chair holder may exercise the option of designating a portion of the endowment income from the chair for use towards the academic endeavors of the Department for a prescribed period, within proper legal constraints.

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

F. Disestablishment of Chair

1. The terms of the endowment shall be reviewed from time to time to ensure that chairs and professorships meet their intended purposes.
2. The President, subject to the donor's approval, and upon recommendation by the Chancellor and after consultation with General Counsel, is authorized to disestablish an endowed chair if
 - a. The subject area ceases to be consistent with the University's mission or campus academic planning statement.
 - b. the chair remains vacant for more than 5 years and the Chancellor determines there is no likelihood of filling the chair.
3. Upon disestablishment of an endowed chair the endowment income shall be redirected to the alternative purposes stated in the gift agreement or subsequent agreements between the donor and the Chancellor. If a donor is deceased and has not specified an alternative purpose, the campus shall request assistance of General Counsel in obtaining court approval for an alternative use of endowment income.

G. Reporting

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

- For a disestablished chair- date disestablished; alternate use of funds approved by General Counsel.

III. Dickson Emeriti Professorship:

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

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

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

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

VIII-12
VISITING DISTINGUISHED PROFESSOR
(Revised 06/06)

The honorific title of Visiting Distinguished Professor may be used on a without salary basis. The title is reserved for use by faculty who would normally meet the standard for advancement to Professor Above Scale in the University of California. Appointment to the title will require review by the Committee on Academic Personnel and approval by the Associate Vice Chancellor for Academic Personnel. An up to date CV and departmental analysis to justify that the individual is at the equivalent status of Professor Above Scale should be submitted via the Dean's office. Reappointments may be approved by the Associate Vice Chancellor for Academic Personnel without additional review by the Committee on Academic Personnel.

If the individual is to receive salary during the term of the appointment, a separate appointment in an appropriate title such as Visiting Professor or Visiting Researcher must be requested.

VIII-14
SENIOR FELLOW
(Revised 06/06)

Appointment as a Senior Fellow requires a record of achievement judged to be excellent in the field. A Senior Fellow may have professional achievements that may not be measurable in terms of traditional academic measures but would nevertheless be judged to be exceptional by appropriate professional standards. A Senior Fellow's main affiliation is outside the University.

Senior Fellows engage in and contribute in an identifiable way to the education, research or outreach mission of the University. This title recognizes time spent in interaction with the faculty, researchers, students, and staff.

Appointments are made on a without salary basis for a period of one to three years following review by the department or unit, endorsement of the Dean, and approval of the Associate Vice Chancellor for Academic Personnel. To request an initial appointment, the following documents must be submitted via the Dean's office:

- Departmental recommendation letter
- Updated Curriculum Vitae
- UCSB Biography form

To request a reappointment, a departmental recommendation letter that includes a review of the candidate's accomplishments during the current appointment and an updated Curriculum Vitae are to be submitted to the Dean. Approval authority for reappointments will be by the Associate Vice Chancellor for Academic Personnel, following endorsement by the Dean.

SECTION IX: POLICIES ON ACCESS AND CONDUCT

IX-1
**GUIDELINES FOR ACCESS TO UNIVERSITY PERSONNEL RECORDS BY GOVERNMENTAL
AGENCIES**
(Revised October, 1995)
(administrative updates as of 10/10)

The following University of California guidelines and procedures for Access to University Personnel Records by Governmental Agencies were issued in 1987 by then Acting Vice Chancellor, Robert S. Michaelsen.

All governmental agency requests regarding access to academic and staff personnel records about a university employee classified as (1) "confidential academic review records" (peer review records), (2) "confidential records", (3) "personal records", or (4) "non-personal records" are to be directed to the Office of The Executive Vice Chancellor. The policy covers:

1. Academic Records

Campus responses to governmental agency requests to access to academic personnel records subject to Academic Personnel Policy section 160, for any purpose will be coordinated by the offices of the Associate Vice Chancellor, Academic Personnel, the Director, Equal Opportunity, and Business Services.

2. Staff Records

Campus responses to governmental agency requests to access staff records are subject to Staff Personnel Policy 605. Responses will be coordinated by the Director of Human Resources, Director, Equal Opportunity, and Business Services.

As appropriate, the offices of General Counsel will be consulted regarding questions of a governmental agency's statutory right of review, of relevancy, and for interpretation of the attached guidelines.

Reviews

Once the campus has determined that under University guidelines the particular governmental agency is entitled to review academic and staff personnel records subject to our academic and staff personnel policies, the campus will provide a central location for review of these files. Throughout the review, a campus official will be present to insure the appropriate accounting of records under review.

In regard to files that may be copied by a governmental agency representative subject to these guidelines, the Executive Vice Chancellor's office will number each file and record the number of pages. The governmental agency representative will sign a form indicating the pages they wish to copy. Each page copied will be stamped noting that it is subject to the specific agreement between the University of California and the governmental agency.

GUIDELINES FOR ACCESS TO UNIVERSITY PERSONNEL RECORDS
BY GOVERNMENTAL AGENCIES

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Appendix A Academic Personnel Manual Section 160-20-b(1)

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Appendix C Business and Finance Bulletin RMP-8, "Legal Requirements on Privacy of and Access to Information," Section VII.B.1, Definition of Confidential Information.

GUIDELINES FOR ACCESS TO UNIVERSITY PERSONNEL RECORDS BY GOVERNMENTAL AGENCIES

I. Introduction.

All University records about individuals are classified as (1) "confidential academic review records" (peer review records), (2) "confidential records," (3) "personal records," or (4) "non-personal records." Access rights by individuals and entities vary according to the type of record. Comprehensive requirements for access to all types of University records are contained in Business and Finance Bulletin RMP-8, "Legal Requirements on Privacy of, and Access to Information." The purpose of these guidelines is to supplement that document by specifying the rights of Federal, state, and local government officials to access the four categories of University personnel records. Included in these guidelines are the provisions of the two legal agreements between the University and the U.S. Department of Labor (DOL), and the State of California Department of Fair Employment and Housing (DFEH) pertaining to access to confidential academic review (peer review records) during investigations of discrimination complaints or compliance reviews.

For additional information on access to, and the privacy of personnel information refer to:

Business and Finance Bulletin RMP-8, "Legal Requirements on Privacy of and Access to Information," dated December 10, 1985;

Academic Personnel Manual Section 160, "Maintenance of, Access to, and Opportunity to Request Amendment of Academic Personnel Records," revised August 1, 1992;¹ and

Staff Personnel Policy 605, "Staff Personnel Records," dated December 1, 1990.²

II. Access by Governmental Agencies to Confidential Academic Review (Peer Review) Records.

This section does not apply to access to peer review records by the U.S. Department of Labor (DOL) or the State of California Department of Fair Employment and Housing (DFEH) relating to complaints of discrimination or compliance reviews. See Sections III and IV.

If a representative of a governmental agency other than DOL or DFEH requests access to material in University personnel records which includes items that are "confidential academic review records" (peer review records) pursuant to Academic Personnel Manual Section 160-20-b(1) (Appendix A), such request must be in writing. In response to the written request, the requester should be informed that:

The University of California is in full support of (name of agency)'s need and duty to acquire information pertinent to carrying out its functions. University policies concerning confidential academic peer review records, however, specify that such records are confidential documents. This designation of confidentiality is essential to the University's academic personnel process to secure candid evaluations of individuals under review. The University provides safeguards

¹ All references to this policy apply to academic personnel except as otherwise provided by a Memorandum of Understanding.

² Staff Personnel Policy 605 does not apply to staff employees covered by a Memorandum of Understanding.

in the review process to assure that the confidentiality does not cloak unfairness to individuals or result in abuse.

With respect to academic peer review personnel records, our policies take into account the need to protect individual rights of privacy. Furthermore, our academic personnel policies provide that subject individuals may receive, on request, a redacted copy of the substance of the confidential documents in their files, edited to withhold disclosure of the identity of persons who have supplied evaluations of the subject individuals with the understanding that the identity of the evaluator will be held in confidence.

In light of the above policies, and provided that your agency has a statutory right to review these records and shall maintain their confidentiality, the University is prepared to make available for your authorized representative on-site review of academic personnel files relevant to your review.

In applying the general policies regarding use of confidential academic documents in the personnel process, and in order to balance the need to protect the confidentiality of certain records against the legitimate needs of access by governmental agencies, you should abide by the following guidelines dealing with representatives of government agencies who have requested material from peer review records:

1. You should allow the governmental agent to view on-site the complete files which are relevant to the governmental review, but only after the names of evaluators and any identifying particulars have been removed.
2. If the governmental agent asks to remove copies of, or make and remove notes about peer review documents from the physical custody of your campus or Laboratory, the following officers should be consulted prior to response:
 - a. the Senior Vice President--Academic Affairs, and
 - b. General Counsel.

III. Access by the U.S. Department of Labor to Confidential Academic Review (Peer Review) Records Relating to Complaints of Discrimination or to Compliance Reviews as Required by Consent Decree.³

If a representative of the Department of Labor, Office of Federal Contract Compliance Programs (OFCCP), requests access to material in University records which includes items the University characterizes as confidential pursuant to Academic Personnel Manual Section 160-20-b(1) (academic peer review records), the following procedures, as set forth in the Consent Decree, should be followed:

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1. The University shall provide OFCCP access for inspection and copying of such books, records, accounts, and other materials which OFCCP determines to be relevant and necessary whenever it is reviewing the University's compliance with Executive Order 11246, as amended, and the rules, regulations, and orders issued pursuant thereto (hereinafter Executive Order 11246 or the Executive Order). The University shall allow OFCCP to remove copies of said books, records, accounts, other materials, and notes from off campus or from any other place at which they are maintained.⁴
2. OFCCP will remove copies of books, records, accounts, and other University materials off campus where it concludes that said materials are necessary to its Executive Order review. However, where such books, records, accounts, or other materials concern the following, and are

³ An agreement between the University of California and the U.S. Department of Labor dated October 3, 1980 pertaining to the latter's access to University academic peer review records. The full text of the Consent Decree is available from the Office of the General Counsel

⁴ However, nothing in this Consent Decree shall be deemed to in any way limit the University's right under 41 CFR 60-60.4(c) (or its successor) to question the relevancy of documents removed off campus or from any other place in which they are maintained, and to seek their return, thereunder.

and have been maintained in confidence by the University, prior to making copies, the OFCCP investigator (EOS) will justify his/her decision to the appropriate OFCCP Area Office Director:

- a. Letters of evaluation or other statements pertaining to any individual received by the University in the academic peer review process with the understanding that the letter or statement will be held in confidence;
- b. Letters from the chairperson (or equivalent officer) in the academic peer review process setting forth a departmental recommendation; and,
- c. Reports, recommendations, and other related documents from administrative officers and campus ad hoc and standing committee in the academic peer review process concerning evaluations of individuals.

Only if the Area Office Director concurs, will copies of any of the above-listed documents be taken off campus or removed from any other place where they are retained by the University. If the Area Office Director concurs, the University shall be notified by the Area Office Director of the documents to be copied and removed. Copies will then be taken off campus, or from other locations where they are maintained by the University, in accordance with OFCCP's Executive Order compliance assessment needs.

4. Where OFCCP takes copies of any of the documents listed in paragraph 2, a-c, above, off campus or from other locations where they are maintained by the University, all copies of such documents (which have not been entered as hearing or trial exhibits) shall be returned to the University within a reasonable period of time after completion, as determined by the Department of Labor, of a compliance review, complaint investigation, other investigation, or administrative or judicial enforcement proceedings.⁵ The University will then maintain said copies for at least ten (10) years unless the parties mutually agree on a shorter period of retention, and will provide them to OFCCP whenever it requests them. When such documents are provided, OFCCP shall maintain and return them in accordance with this Consent Decree."

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IV. Access by the State of California Department of Fair Employment and Housing to Confidential Academic Review (Peer Review) Records Relating to Complaints of Discrimination as Required by Disclosure Agreement.

If a representative of DFEH requests access to material in University academic peer review personnel records which includes items the University characterizes as confidential pursuant to Academic Personnel Manual Section 160-20-b(1), the procedures set forth in the Disclosure Agreement (Appendix B) should be followed. This agreement concerns disclosure of University records when DFEH is investigating charges of employment discrimination, and details the specific steps to be followed when releasing all types of academic personnel records, including comprehensive summaries of confidential academic review records and actual review records.

V. Access by Governmental Agencies to Academic, Staff, and Other Employee Personnel Records Designated as Confidential (other than Confidential Academic or Peer Review Records).

Business and Finance Bulletin RMP-8, "Legal Requirements on Privacy of and Access to Information," Section VII.B.1. provides a complete definition of confidential information which includes, but is not limited by law to, medical, psychological, and investigative information about an individual. See Appendix C. Academic Personnel Manual Section 160-20-b(2) similarly defines confidential information and clarifies that such academic personnel information is generally not part of the peer review file, but is

⁵ The term "completion" includes, but is not limited to, Departmental reviews of such reviews, investigations, or proceedings.

occasionally maintained by the University. Business and Finance Bulletin RMP-8 provides the definition of confidential information for all staff employees.

If a representative of a governmental agency requests access to confidential academic, staff, or other employee personnel information, such request must be in written form and the information should be made available only if the governmental agency has a legal right to such access. Because of the sensitivity of confidential information and the University's policy of protecting individual rights of privacy, the requester should be informed that:

The University of California is in full support of (name of agency)'s need and duty to acquire information pertinent to carrying out its functions. Our personnel policies specify, however, that certain materials in personnel records are confidential documents, and take into account the rights of access of third parties, as well as the need to protect individual rights of privacy.

In light of these policies and in conformance with the law, the University is prepared to make available for your authorized representative on-site review of confidential personnel files relevant to your review, provided that your agency has a statutory right to review these records and shall maintain their confidentiality.

VI. Access by Governmental Agencies to Academic, Staff, and Other Employee Personnel Records Designated as Non-personal or Personal.

The preceding guidelines have dealt with access to confidential academic review (peer review) records, and the separately defined confidential information about academic, staff, and other employees. Following are guidelines for governmental access to that personnel information which the University considers non-personal or personal in nature.

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Business and Finance Bulletin RMP-8, Section VII.B.3, Academic Personnel Manual Section 160-20-b(4) and Staff Personnel Policy 605.18 specify those types of personnel information which the University considers to be non-personal, such as the individual's name, the date of hire, the current position title, the current rate of pay, the organizational unit assignment (including office address and telephone number), and the current job description. These types of records are public records and are available to governmental agencies upon request.

Personal information is defined in Business and Finance Bulletin RMP-8, Section VII.B.4, Academic Personnel Manual Section 160-20-b(5), and Staff Personnel Policy 605.19, as that information which is not confidential (Section V above and Appendix C) or non-personal, and the disclosure of which would constitute an unwarranted invasion of personal privacy of the individual. Examples of the most common types of personal information are included in the referenced section of Business and Finance Bulletin RMP-8. If a representative of a governmental agency requests access to personal information about any employee, it will be made available only if the governmental agency has a statutory right to such access, or if the individual to whom the information pertains has authorized release (Business and Finance Bulletin RMP-8, Section VII.G.3., Academic Personnel Manual Section 160-20-d(4), Staff Personnel Policy 605.22). The governmental agency should agree to not release personal information obtained from the University except to the subject of the information or to authorized individuals.

GENERAL UNIVERSITY POLICY APM - 160
REGARDING ACADEMIC APPOINTEES
Academic Personnel Records/Maintenance of, Access
to, and Opportunity to Request Amendment of

The Faculty Code of Conduct (Part II.D.3.) as approved by the Assembly of the Academic Senate and incorporated into the official document, "University Policy on Faculty Conduct and the Administration of Discipline," initially adopted by The Regents in June 1974, and subsequently amended, specifies that among types of unacceptable faculty conduct is "breach of established rules governing confidentiality in personnel procedures." This part of the Faculty Code recognizes the importance of the right to privacy of an individual undergoing a personnel review and of the right to privacy of persons who furnish, in confidence, evaluations of individuals under review.

b. Definition of Types of Records and Information Maintained by the University about Academic Employees

(1) "Confidential academic review records" are:

(a) A letter of evaluation or other statement pertaining to an individual received by the University with the understanding that the identity of the author of the letter or statement will be held in confidence to the extent permissible by law.

(b) A letter from the chairperson (or equivalent officer) setting forth a personal recommendation in connection with an academic personnel action concerning the individual, such as appointment, promotion, merit increase, appraisal, reappointment, non-reappointment, or terminal appointment.

(c) Reports, recommendations, and other related documents from campus and departmental *ad hoc* committees concerning evaluations of the individual under applicable University criteria in connection with an academic personnel action, such as appointment, promotion, merit increase, appraisal, reappointment, non-reappointment, or terminal appointment.

(d) Information placed in the review file by a department chair that provides reference to the scholarly credentials of individuals who have submitted letters of evaluation or their relationship to the candidate.

August 20, 1984

DISCLOSURE AGREEMENT

- A. The California Department of Fair Employment and Housing (hereinafter "DFEH") is responsible for investigating charges of employment discrimination filed with the Department. In the course of investigating such charges, DFEH often asks to inspect or obtain copies of certain information pertaining to the complainant in the custody of an affected employer in order to determine if there is merit to the charge. When investigating a charge brought against the University of California (hereinafter "University"), DFEH at times desires to inspect and copy personnel records which include academic review records for University academic employees or candidates. These academic review records are deemed confidential by the University. These academic review records are those listed in Academic Personnel Manual section 160-20(b)-1 (Rev. 8/1/92). (Appendix A of this Agreement.) Both parties recognize that in conducting its investigation DFEH has the legal right of access to University records, subject to certain legal limitations and restrictions. This Agreement sets forth the parties' understanding regarding DFEH's access to such records.

The University recognizes that DFEH has a statutory obligation to complete its investigation within one year of the date the complaint is filed. DFEH recognizes that the University needs sufficient advance notice in order to prepare certain documents for discovery pursuant to the terms of this Agreement. Therefore, the parties to this Agreement agree to the timetables specified as a general guide. These timetables shall not preclude earlier compliance or different timetables agreed upon between the parties in any individual case.

B. Access to Records.

- B-1. Whenever DFEH investigates a charge of discrimination brought by an academic employee or candidate about whom the University maintains academic personnel records which are confidential pursuant to University policy, DFEH may review all relevant existing University personnel records of the charging party which are not confidential academic review records. If a redacted copy of confidential academic review records exists, the redacted copies shall be included in the records reviewed. DFEH may also request copies of the records pursuant to Section D-1 of this Agreement without prior on-site review.

- B-2. If DFEH then determines that access to relevant existing University personnel records of non-charging parties which are not confidential academic review records is necessary for the conduct of the investigation for purposes of comparison, DFEH shall explain in writing the basis for its request to the Academic Vice Chancellor of the affected campus. The University will afford DFEH the opportunity to inspect those records on-site within twenty (20) days of receipt of the written request of DFEH. If redacted copies of

confidential academic review records exist, the redacted copies shall be included in the records reviewed.

B-3. If after review of records under B-1 or D-1 of this Agreement DFEH determines that access to the academic review records of the charging party which are deemed confidential by the University is necessary for the conduct of the investigation, DFEH shall explain in writing the basis for its request to the Academic Vice Chancellor of the affected campus. In response to such a request, if the University has previously provided DFEH with the comprehensive summary of the charging party under D-1, the University shall allow DFEH to review the originals confidential academic review records, or copies thereof, with the names and identifying particulars of reviewers deleted, on site in order to authenticate the accuracy of the summaries within twenty (20) days of DFEH's request.

If a redacted copy of confidential academic review records for the charging party does not exist or does not cover confidential academic review records applicable to the period of the complaint, the University shall first prepare and provide DFEH with redacted copies of the requested records, setting forth the substance of those records, except for information which would reveal the sources of the records and as specified in Academic Personnel Manual section 160-20-b(1) (Rev. 8/1/92). (Appendix A of this Agreement.) The University shall not consider such redacted copy confidential. DFEH agrees to allow the University up to four (4) weeks from the written request, to prepare the redacted copies of the requested records of the charging party.

If DFEH then requests, the University shall allow DFEH an opportunity to review the original confidential academic review records, or copies thereof, with names and identifying particulars of reviewers deleted, on site in order to authenticate the accuracy of the redacted copies upon twenty (20) days notice by DFEH of its request for said review.

B-4. If after review of records under B-2 or D-2 of this Agreement DFEH determines that access to the academic review records on non-charging parties which are deemed confidential by the University is necessary for the conduct of DFEH's investigation for purposes of comparison, the DFEH consultant shall notify his/her District or Regional Administrator and the Academic Vice Chancellor of the affected campus. The District or Regional Administrator of the DFEH office involved shall explain in writing, to the Academic Vice Chancellor the basis for the request and that access is in conformity with DFEH criteria used by consultants in such investigations.

In response to such a request, the University, if redacted copies of confidential academic review records for comparable non-charging parties do not exist or do not cover confidential review records applicable to the period of the complaint, shall first prepare and provide DFEH with redacted copies of the requested records, setting forth the substance of those records, except for information which would reveal the sources of the records and as specified in Academic Personnel Manual section 160-20-b-2 (Rev. 8/1/92). (Appendix A of this Agreement.) The University shall not consider such summaries confidential as to the party to whom the summary pertains. DFEH agrees to allow the University up to eight (8) weeks from the written explanation by the District or Regional Administrator of the DFEH office involved to prepare the comprehensive summaries of the requested records of the comparable non-charging parties.

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If DFEH then requests, the University shall provide DFEH with an opportunity to review the original confidential academic review records, or copies thereof, with names and identifying particulars of reviewers deleted, on site in order to authenticate the accuracy of the summaries upon twenty (20) days notice by DFEH of its request for said review.

B-5. If after review of records under B-3 or B-4 of this Agreement DFEH then determines that information about reviewers is necessary for the conduct of its investigation, the District or Regional Administrator shall state in writing its need for the information. Within ten (10) days of receipt of DFEH's statement of need the Academic Vice Chancellor or designee shall consult with DFEH. Within five (5) working days of the consultation, the University will provide the information requested about, but not the names of, reviewers (e.g., gender, ethnicity, discipline). Nothing in this paragraph shall be interpreted to prevent DFEH and University from modifying the scope of the original request by agreement during the required consultation.

B-6. Finally, if the District or Regional Administrator of the DFEH office involved provides a written statement why access to the academic review records in unredacted form is necessary to the investigation and, that the result is in conformity with DFEH criteria used by consultants in such investigations, the Academic Vice Chancellor or designee shall consult with the District or Regional Administrator within ten (10) days of receipt of DFEH's statement. Within five (5) working days of the consultation, the University will afford DFEH the opportunity to review the original confidential academic review records in unredacted form on site. Nothing in this paragraph shall be interpreted to prevent DFEH and University from modifying the scope of the original request by agreement during the consultation.

The University reserves the right to raise legal objections to DFEH's request to review the documents specified in paragraph B-6 on the grounds that the information requested is not reasonably relevant to the matter under investigation or on such other bases as might be available under applicable law. Written notice of refusal to provide access to any part of the documents specified in B-6 shall be provided by the University to DFEH within five (5) working days of the consultation specified above, setting forth the reasons for such refusal.

C. Notes. The DFEH consultant shall be permitted to take notes of conversations as well as documents reviewed at the on-site review. In the event that the consultant takes notes, such notes will be regarded as information obtained under a promise of confidentiality, pursuant to the provisions of paragraph B-1 of this Agreement.

D. Removal of Copies of Records.

D-1. The University shall provide copies of all relevant existing University personnel records of the charging party which are not confidential academic review records within ten (10) days of DFEH's request. If a redacted copy of confidential academic review records exists at the time of DFEH's request, it shall be included in the copies of records provided to DFEH. If a redacted copy is prepared by the University pursuant to paragraph B-3 of this Agreement, the University shall provide the redacted copy immediately upon completion of the redaction.

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D-2. If DFEH determines that copies of existing University personnel records of non-charging parties which are not confidential academic review records are necessary for the conduct of the investigation for purposes of comparison subsequent to DFEH's review of those records on site pursuant to paragraph B-2 of this Agreement, DFEH shall explain in writing the basis for its request to the Academic Vice Chancellor of the affected campus. The University will provide the requested records within ten (10) days of DFEH's request. If redacted copies of confidential academic review records exist at the time of DFEH's request, they shall be included in the copies of records provided to DFEH. If redacted copies are prepared by the University pursuant to paragraph B-4 of the Agreement, the University shall provide the redacted copies immediately upon completion of the redaction.

D-3. If DFEH determines that removal of copies of confidential academic review records relating to the charging party or to non-charging parties which have been reviewed pursuant to paragraphs B-3 and B-4 of this Agreement is necessary to the conduct of its investigation, the District or Regional Administrator shall provide a written statement to the University why removal of copies is necessary to the conduct of the investigation. Within ten (10) days of receipt of DFEH's statement, the Vice Chancellor or his designee shall consult with the District or Regional Administrator. Nothing in this paragraph shall be interpreted to prevent DFEH and University from modifying the scope of the original request by agreement during the required consultation.

If the District or Regional Administrator so consults and affirms the need, the University agrees to provide copies of the requested records of the charging party and comparable non-charging parties as redacted pursuant to paragraphs B-3 and B-4 of this Agreement within five (5) working days.

If the case is forwarded to the DFEH Legal Unit for review for accusation, the University agrees to provide copies of the unredacted records requested within five (5) working days.

D-4. DFEH agrees to the following security measures for copies of records provided pursuant to section D-3:

- a. Copies provided by the University will not be duplicated in any form. DFEH will maintain only the copy provided by the University.
- b. All copies provided by the University will be maintained in a segregated, locked file.
- c. Only consultants, attorneys, and DFEH employees or agents with a specific need to know shall have access to the copies of records provided pursuant to this section.

E. The sequence of access to inspection and/or removal of the academic review records, as described above in sections B, C and D, may be modified in any individual case upon agreement of both parties to this Agreement.

F. Pursuant to this Agreement, the parties hereto shall abide by the following conditions:

F-1. DFEH shall regard the notes taken by any DFEH consultant during the course of a review concerning academic review records and information deemed confidential by the University as well as any conversations concerning those records and information and/or any notes

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taken about academic review records and information deemed confidential by the University and provided to DFEH to be provided under a promise of confidentiality, and such records, information and notes shall be deemed to be received by DFEH as confidential pursuant to, but not limited to, Government Code section 12932, subdivision. (b) and DFEH Field Operations Directive No. 38 (6/16/83).

F-2. DFEH shall not release or otherwise disclose records and information provided under a promise of confidentiality or any notes or records relating to such records and information or to conversations concerning such records and information to any person or party requesting to inspect or copy such, except as follows. DFEH agrees that all records, information, and notes or copies thereof obtained pursuant to this Agreement with a promise of confidentiality and/or deemed confidential by the University and provided to DFEH and which are maintained by DFEH during an investigation are "confidential" as defined by Civil Code section 1798.3, subdivision (a)(4) and are therefore not disclosable to the complainant or third parties during a pending investigation, unless DFEH is ordered to do so by a court of competent jurisdiction. DFEH agrees not to disclose any University academic review information received by DFEH and provided under a promise of confidentiality or notes about such information or notes about conversations concerning such information that remain in DFEH's possession except under the terms of Civil Code section 1798.38. In response to a request for confidential academic review information by the subject of that information, DFEH will provide only the redacted copies concerning the subject provided to DFEH pursuant to the terms of this Agreement, unless DFEH is ordered to do so by a court of competent jurisdiction.

F-3. If DFEH officially ends the investigation of any complaint filed against the University without issuing an accusation, DFEH shall forthwith return to the University all records containing personal and confidential information about all parties including notes relating to said records and information received by DFEH for purposes of its investigation of said complaint pursuant to the terms of this

Agreement as well as any copies thereof. The University agrees to retain such records and notes for a period of seven (7) years after return.

- F-4. If DFEH determines that an accusation is warranted, DFEH may, notwithstanding the foregoing provisions, use records designated here under as confidential, as well as the matter contained therein, in the accusation and subsequent prosecutor of the case. Prior to introducing any of such records into evidence before the Fair Employment and Housing Commission, DFEH shall provide the University with the opportunity to seek a protective order from the Commission. If the Commission denies the protective order, the University shall retain its right to seek a protective order from the appropriate court of law.
- F-5. DFEH agrees to give the University adequate notice of any subpoena or deposition of a confidential reviewer whose name was revealed pursuant to section B-6 of this Agreement to enable the University to seek a protective order.
- G. Any discovery issues not specifically covered by the terms of this Agreement are outside the purview of this Agreement.
- H. This Agreement is binding on the whole University system and all employees and agents of DFEH.

Original document signed by Mark Guerra, Director, DFEH and James S. Albertson, Associate Vice President Academic Affairs.

RMP-8
Dec. 10, 1985

Section VII.B. (cont)

1. Confidential Information

Recent amendments to the Information Practices Act delete the term confidential information from Section 1798.3 but retain the limited access rights provided to information previously so defined by addition of a new Section 1798.40. Section 1798.40 provides that an agency is not required to disclose information to the individual to whom the information pertains if certain criteria are satisfied. The criteria listed correspond to those previously used to define the term confidential information. Thus, although the term has been eliminated from the Act, no substantive change has been effected regarding disclosure or access rights. The University will continue to use the term confidential information to mean any information which meets any of the following criteria:

- 1798.40 (a - c) a. Is compiled for the purpose of investigation of suspected criminal activities or identification of individual criminal offenders or alleged offenders.
- 1798.40 (d) b. Is maintained for the purpose of an investigation of an individual's fitness for University employment, or of a grievance or complaint, or a suspected civil offense, so long as the information is withheld only so as not to compromise the investigation or a related investigation. The identities of individuals who provided information for the investigation may be withheld pursuant to Section 1798.38. (See Section VII.H.1.)
- 1798.40 (e) c. Would compromise the objectivity or fairness of competitive examination for appointment or promotion in University service, or is used to determine scholastic aptitude.
- 1798.40 (f) d. Pertains to the physical or psychological condition of the individual, if the University determines that disclosure would be detrimental to the individual. The information shall be disclosed upon the individual's written authorization to a licensed medical practitioner or psychologist designated by the individual.

IX -11
EMPLOYMENT OF NEAR RELATIVES
(Revised 10/10)

APM 520 contains the University policy regarding employment of near relatives. Approval of employment of near relatives as defined by APM 520-4, within the same department requires the approval of the Chancellor or Chancellor's designee. Similarly, approval is required if two appointees already holding such positions subsequently become near relatives.

Faculty members may not participate in the review or decision- making on any personnel action of a near relative.

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

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

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

I. Responsibility

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

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

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

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

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

II. Access to Non-confidential Documents

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

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

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

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

IV. Application of Regulations and Laws

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

V. Corrections, Deletions and Statements

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

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

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

VI. Inspection of Personnel Records by Third Parties

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

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

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

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

should be referred to the Office of Academic Personnel.

APPENDIX A

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

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

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

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

II. Access to Non-confidential Documents

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

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

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

IX-17
**ACCESS POLICY FOR MATERIALS IN
 ACADEMIC PERSONNEL REVIEW RECORDS**
 (Revised 10/10)

<u>SOURCE OF MATERIAL</u>	<u>RELEASE POLICY PRIOR TO SEPT. 1992</u>	<u>RELEASE POLICY EFFECTIVE SEPT. 1992</u>
Letters of Evaluation	Summary	Redaction ³
Coded List of Referees	No Release	No Release
Department Ad Hoc Reports ¹	Summary	Redaction ³
Department letter	Summary	Full release ³
Other Department Documentation ¹	Summary	Full Release ³
Chair's separate Letter	Summary	Redaction
Dean/Provost recommendation	Summary	Full release
Senate ad hoc committee report	Summary	Redaction
CAP recommendation	Summary	Full release
Other administrative recommendations ²	No release	Full release

1. Materials submitted with the case for review, or referred to in the case.
2. e.g., Chancellor's letter to the President on Above Scale cases.
3. Provided to candidate by department, on request.

IX-18
Academic Personnel Records Retention
(Revised 11/16)

The following guidelines are based on the University of California Records Disposition Schedule, available on-line at <http://www.policy.ucsb.edu/information/rec-mgmt/>

The Academic Personnel Office is the office of record for personnel files of all academic employees other than the following:

<u>Series</u>	<u>Office of record</u>
Librarians	Library
Teaching Assistants, Readers, Graduate Student Researchers	Department*

*Employment files and student academic files should be maintained separately.

I. Retention of files

Documents are to be maintained as follows:

Personnel files*:

Senate faculty: Academic Personnel maintains files for Senate faculty indefinitely. If a Department or College is keeping a secondary file, that file must be maintained until the employee separates from the University.

Non-Senate Academics: Academic Personnel, as the office of record, maintains files for 5 years after separation. Departments must retain files until the employee separates from the University.

*Items that are stored electronically in AP Folio and are accessible to the department or college do not need to be separately maintained in the department or college.

Applicant files

UC Recruit is the file of record for applicant files. Departments do not need to maintain hard copy of applicant files.

Faculty appointment cases that are put forward for review, but are ultimately unsuccessful recruitments will be maintained by Academic Personnel for 3 years.

Teaching evaluations (student comments and ESCIs) are to be maintained for the longer of:

- 1) until used in a review file, or
- 2) as long as a need is present

II. Equal Opportunity/Affirmative Action Obligations

The United States Department of Labor sets forth specific obligations as an equal opportunity/affirmative action employer. In general, any personnel or employment record must be kept a period of not less than three years from the date of the making of the record or personnel action involved, whichever occurs later. Such records include, but are not necessarily limited to, records pertaining to hiring, assignment, promotion, demotion, transfer, lay off or termination, rates of pay or other terms of compensation, and selection for training or apprenticeship, and other records having to do with requests for reasonable accommodation, the results of any physical examination, job advertisements and postings, applications and resumes, tests and test results, and interview notes. In the case of involuntary termination of an employee, the personnel records of the individual shall be kept for a period of not less than two years from the date of the termination.

The requirements of this section shall apply only to records made or kept on or after December 22, 1997.

IX- 20
**PROCEDURE FOR NON-SENATE ACADEMIC
APPOINTEES CORRECTIVE ACTION AND DISMISSAL**
(Revised 10/17)

I. Related Policies

APM 150 provides the standards and procedures for corrective action or dismissal of non-Senate academic appointees. APM 140 describes the University policy regarding the grievance procedure for non-Senate academic appointees. The UCSB Local Procedures for Reported Staff & Non-Faculty Academic Personnel Violations of the UC Policy on Sexual Violence and Sexual Harassment describes the UCSB procedures or corrective action in cases involving a violation of the UC Policy on Sexual Violence and Sexual Harassment.

II. Background

Corrective action or dismissal may be instituted for good cause, including but not limited to misconduct, unsatisfactory work performance, or dereliction of duty. For non-Senate academic appointees who are subject to peer review for performance evaluation, demotion and dismissal shall involve the regular peer review process. Such peer review shall be advisory to the referral officer as listed in Appendix A.

III. Policy

Non-Senate academic appointees are expected to conduct themselves in a manner consistent with the rules, regulations and policies of the University and to perform their assigned responsibilities.

A. Definition

1. Corrective action is a written warning, written censure, suspension without pay, or demotion for good cause, including but not limited to misconduct, unsatisfactory work performance, or dereliction of academic duty.
 - (a) Written warning is a communication that informs the appointee of the nature of the misconduct or deficiency, the method of correction, and the probable consequence of continued misconduct or deficiency.
 - (b) Written censure is a formal reprimand that conveys institutional rebuke.
 - (c) Suspension is debarment without pay from appointment responsibilities for a stated period of time.
 - (d) Demotion is reduction in rank, step, and/or salary.
2. Dismissal is the termination of employment initiated by the University prior to the ending date of appointment for good cause, including but not limited to serious misconduct, continued unsatisfactory work performance, or serious dereliction of academic duty.

B. Application of Corrective Action and Dismissal Actions

1. Prior to instituting corrective action (other than written warning) and dismissal, efforts to resolve the problem informally should have been attempted by the referral officer.
2. Investigatory Leave

An appointee may be placed on immediate investigatory leave with pay, without prior written notice, for the purpose of reviewing or investigating charges of misconduct or dereliction of duty, which, in the judgment of the Chancellor, or Associate Vice Chancellor for Academic Personnel, require removing the appointee from University premises. Such investigatory leave must be approved by the Associate Vice Chancellor for Academic Personnel and confirmed in writing after it is instituted.

3. Written Notice of Intent

The referral officer, after consultation with Academic Personnel, shall provide a written Notice of Intent to the appointee prior to initiating the actions of written censure, suspension without pay, demotion, or dismissal. The Notice shall state: (1) the intended action, including reasons for the action and the proposed effective date; (2) the basis of the charges, including copies of pertinent materials supporting the charge; (3) the appointee's right to respond either orally or in writing within fourteen (14) calendar days of the date of issuance of the written Notice of Intent; and (4) the person to whom the appointee should respond. No Notice of Intent is required for a written warning.

4. Response to Written Notice of Intent

The appointee who receives a written Notice of Intent shall be entitled to respond, either orally or in writing, within fourteen (14) calendar days of the date of issuance of the written Notice of Intent. The response, if any, shall be reviewed by the adjudicating officer as listed in Appendix A.

5. Review of Proposed Corrective Action or Dismissal

- a. Review shall normally be addressed by the appropriate referral officer to the appropriate adjudicating officer.
 - i. The adjudicating officer shall appoint a three-member committee of University employees, one of whom shall be the Director of Equal Opportunity, and the remaining two shall be employees in the same or similar title and status as the affected individual. This committee shall investigate and advise the adjudicating officer of the appropriateness of the proposed action.
 - ii. After timely receipt of the committee's recommendation on the proposed action, the adjudicating officer shall advise the Chancellor, Dean, Dean of the Graduate Division (in cases involving student titles), the referral officer, and the individual's supervisor, if other than the referral officer, of any action to be taken.
 - iii. The individual shall have the right to grieve this action under APM 140 and Red Binder IX-25.

6. Written Notice of Action

In the event the adjudicating officer makes a determination to institute the corrective action or dismissal following the review of a timely response, if any, from the appointee, and within thirty (30) calendar days of the date of issuance of the written Notice of Intent, the referral officer shall issue a written Notice of Action to the appointee of the corrective action or dismissal to be taken, giving the effective date. The Notice of Action also shall notify the appointee of the right to grieve the action under Section 140 of the Academic Personnel Manual. The Notice of Action may not include an action more severe than that described in the Notice of Intent.

7. Representation

An appointee may be self-represented or may be represented by another person at any stage of the corrective action or dismissal process.

8. Extension of Time

Prior to expiration of any time limit stated in this policy, extensions may be granted by the Chancellor, Executive Vice Chancellor, or appropriate designee.

APPENDIX A

TITLE, SERIES OR CLASS OF INDIVIDUAL CHARGED	REFERRAL OFFICER	ADJUDICATING OFFICER
Professional Research Specialist Project Scientist	Department Chair or Director	Associate Vice Chancellor Academic Personnel
Librarians	Head of Unit	University Librarian
Assistant or Associate University Librarian	University Librarian	Executive Vice Chancellor
University Extension Personnel	Director of Division	Associate Vice Chancellor Academic Programs
Academic Coordinator	Department Chair or Director	Associate Vice Chancellor Academic Personnel
Graduate Student Researcher	Department Chair or Director	Associate Vice Chancellor Academic Personnel

IX- 25
PROCEDURES FOR NON-SENATE ACADEMIC GRIEVANCES
(Revised 5/17)

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

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

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

Step I Informal Grievance Resolution

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

Step II Formal Review of Grievance

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

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

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

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

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

Step III Administrative Review or Hearing

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

Step IIIa Administrative Review

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

Step IIIb Hearing

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

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

(b) Non-University Hearing Officer:

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

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

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

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

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

IX-30
**POLICY AND PROCEDURES ON LAYOFF AND INVOLUNTARY REDUCTION
IN TIME FOR NON-SENATE ACADEMIC APPOINTEES**
(Revised 11/16)

I. Related Policies

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

II. Background

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

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

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

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

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

B. Determination of Layoff and Involuntary Reduction in Time.

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

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

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

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

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

IV. Procedures

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

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

3. Names of other appointees in the department within the same category of employment (e.g. Professional Research series, Specialists, etc.) with their title, rank, step, months of service, and area of expertise.
 4. Justification of the order of layoff or involuntary reduction in time. (Note: the appointee may request a written summary of the reasons for the order of layoff or involuntary reduction in time.)
 5. A copy of the written notification the Chair proposes to send to the appointee, which shall include:
 - a. the reason for the action,
 - b. the effective date,
 - c. how earned vacation will be handled,
 - d. advice to the appointee to contact the campus Benefits Office for information concerning benefits.
 - e. the link for UC Recruit as a resource for open positions on campus
 6. The Chair's signature is certification that he/she has investigated all facts in the case and determined that there is no alternative to the proposed action.
 7. An up to date copy of the employee's bio-bibliography or CV.
- B. The Dean or Director shall review the proposal and, if satisfied that the proposed action is unavoidable and the selection of the appointee was made in accordance with policies and procedures, will sign the original and duplicate copy of the proposal and forward them to the Associate Vice Chancellor for Academic Personnel.
- C. The Office of the Associate Vice Chancellor for Academic Personnel shall:
1. Coordinate with the Director, Equal Opportunity to assure that the action is taken without regard to race, color, religion, marital status, national origin, sex, physical or mental handicap, or within the limits imposed by law or University regulations, because of age or citizenship.
 2. Review for compliance with University policies and procedures. The Associate Vice Chancellor for Academic Personnel or designate, shall notify the Chair in writing of the final decision. The thirty (30) day notice period begins on the date the Chair is notified of the Associate Vice Chancellor's approval.
- D. If the layoff or involuntary reduction in time is approved, the Chair will inform the individual in writing and forward a copy of the notification letter to the Academic Personnel Office.
- E. Written notice

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

F. Layoff Status.

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

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

Preference for re-employment shall be granted to:

- a. Appointees on layoff status;
- b. Appointees whose time has been involuntarily reduced; or
- c. Appointees who have received written notice of layoff or involuntary reduction in time within the six months prior to implementation of layoff or involuntary reduction in time.

2. If two or more qualified persons are in layoff status from the same unit, the individual who was laid off last should be the first to be rehired.
3. Subject to approval by the Associate Vice Chancellor for Academic Personnel, a position which requires special skills, knowledge or abilities may be filled by an individual who possesses the required skills but is not in layoff status even if an individual in layoff status, but who does not possess the skills, knowledge and abilities, is also an applicant for the position.
4. The Office of the Associate Vice Chancellor for Academic Personnel shall maintain a roster of all persons in layoff status.
5. When a person is reemployed after a period of layoff not exceeding 12 months, the periods before and after layoff shall be considered as continuous or uninterrupted service for the limited purpose of applying University policies regarding seniority, sick leave, vacation, holidays, other leaves, reduced fees, and salary advancement by merit increases or promotion. However, benefits and credits for service, including those related to any retirement system, do not accrue during periods of layoff status.
6. Layoff status may be less than one year, if appointment would have normally expired for those appointments with specified ending date, or reappointment occurs within the campus to the same or equivalent position.

G. Reemployment

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

H. Appeals

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

EXHIBIT A

LAYOFF AND INVOLUNTARY REDUCTION IN TIME

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

Lack of work _____

Lack of funds _____

NAME _____

TITLE _____

STEP _____

MONTHS OF SERVICE _____

ADMINISTRATIVE UNIT _____

FUNDING SOURCE(S) _____

Name

Account number

EFFECTIVE DATE OF ACTION _____

REASONS: _____

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

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

Name _____

Rank _____

Step _____

Months of Service _____

Reason not selected: _____

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

I certify that the above information is correct.

Principal Investigator Date

Department Chair/Unit Head Date

Dean/Director Date

APPROVED:

Director,
Equal Opportunity Date

Vice Chancellor for Academic Personnel Date

ACADEMIC APPOINTEES NON-SENATE MEMBERS
(FACULTY)

Adjunct Series

Assistant Adjunct Professor
Associate Adjunct Professor
Adjunct Professor

Visiting Titles

Visiting Assistant Professor
Visiting Associate Professor
Visiting Professor

ACADEMIC APPOINTEES NON-SENATE MEMBERS
(NON-FACULTY)

*Librarian Series

Assistant Librarian
Associate Librarian
Librarian
Assistant University Librarian
Associate University Librarian

Miscellaneous Titles

Academic Coordinator

UNEX Titles

Continuing Educator

Professional Research Series

Assistant Research
Associate Research
Research
Visiting Assistant Research
Visiting Associate Research
Visiting Research

Associate University Librarian

Assistant University Librarian

Graduate Student Researcher

Project Scientist Series

Assistant Project Scientist
Associate Project Scientist
Project Scientist
Visiting Assistant Project Scientist
Visiting Associate Project Scientist
Visiting Project Scientist

Specialist Series

Junior Specialist
Assistant Specialist
Associate Specialist
Specialist

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