

# **ACADEMIC PERSONNEL REVIEW PROCEDURES**

**For Non-Senate Academics**

**“The Non-Senate CALL”**

**OFFICE OF THE PROVOST & EXECUTIVE VICE CHANCELLOR  
VICE PROVOST FOR ACADEMIC PERSONNEL**

**Issued: October 5, 2018**

**Revised: July 1, 2021**

# INTRODUCTION

## Preamble

The purpose of policy is to provide guidance and consistency for the appointment and review of academic employees under individual title series not represented by the Academic Senate. These titles, often called Non-Senate Academics, are delegated to the departments and Dean's Offices to manage. The Dean's Offices are the designated Office of Record and maintain all employment files for these titles. The title series covered under this policy are as follows:

1. Adjunct Professor Series
2. Professional Research Series (aka "Researcher")
3. Project (e.g., Scientist) Series (aka "Project Scientist")
4. Specialist Series
5. Academic Coordinator
6. Academic Administrator

While this policy strives to provide a comprehensive document for the Non-Senate Academics, "The Call" and the "Academic Hiring Toolkit" are essential companions in the larger picture of UCR's local procedures. This is in addition to the Academic Personnel Manual (APM), the Health Sciences Compensation Plan (HSCP), and other UCR policies impacting academics. All these documents contain additional material governing titles covered in this document.

[http://academicpersonnel.ucr.edu/the\\_call/](http://academicpersonnel.ucr.edu/the_call/)  
[http://academicpersonnel.ucr.edu/policies\\_and\\_procedures/Academic%20Hiring%20Toolkit.pdf](http://academicpersonnel.ucr.edu/policies_and_procedures/Academic%20Hiring%20Toolkit.pdf)  
<https://www.ucop.edu/academic-personnel-programs/academic-personnel-policy/>  
[https://medschool.ucr.edu/pdf/UCR\\_HSCP\\_implementing\\_procedures\\_2015.pdf](https://medschool.ucr.edu/pdf/UCR_HSCP_implementing_procedures_2015.pdf)  
[http://academicpersonnel.ucr.edu/policies\\_and\\_procedures/](http://academicpersonnel.ucr.edu/policies_and_procedures/)

*For information on the policies and procedures governing other title series not listed here, please contact the Academic Personnel Office at [academicpersonnel@ucr.edu](mailto:academicpersonnel@ucr.edu). Section IV below also contains further information and links regarding other Non-Senate titles not covered under the Non-Senate Call.*

## Represented and Non-Represented

As of November 2019, the United Auto Workers (UAW) 5810 union has ratified their [Collective Bargaining Agreement](#) ("CBA") to represent Academic Researchers in the following title series: *Professional Researchers*, *Project Scientist*, and *Specialists*. Supervisory, Visiting, and Without Salary employees in these same title series are still considered *non-represented*. This document will affirmatively articulate where policy differs for *represented* employees, pursuant to the CBA. Nothing in this policy is intended to contradict the CBA for the Academic Researchers Unit.

## Living Document

The central [Academic Personnel Office](#) ("APO") is responsible for updating this policy and tracking revisions as necessary. This policy is implemented with the expectation that revisions will occur on an as-needed basis, based on feedback and the continuous evolving needs of the campus. It is highly recommended that any feedback and requested changes be submitted in the same solicited time period as [The Call](#) to ensure timely communication and consistency in process implementation across the campus. This does not preclude APO from changes occurring mid-academic year, within reason and as necessary.

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## I. Schedule and Notice for Academic Personnel Reviews

- A. **Individual Dean's Offices will establish and inform of all due dates.** If no dates are established by the Dean's Offices, then all applicable non-senate files for advancement (merit/promotion), appraisal, quinquennial, or performance review shall follow the deadlines outlined in [The Call](#) with the following exception: the date files are due in the Academic Personnel Office (APO) becomes the date files are due in the Dean's Office. The file entry cut-off date becomes September 30 for all files other than 7<sup>th</sup> year promotion files for series in which there is an eight-year limitation of service at the assistant rank, such as Assistant Adjunct Professor and Assistant Professional Researcher. These files may be updated until April 30 of the seventh year.
1. Dean's Offices will establish due dates for Extramural and Student letters, as well as the timetable for announcement of final decisions. If no such dates are established, the dates established in [The Call](#) shall be followed. Exceptions must have Dean's approval.
- B. **Non-Senate academic titles covered under this policy who are eligible for review shall receive written notification at least six (6) weeks before materials are due.** This notification shall include, at minimum:
1. A list of materials the candidate is responsible for providing and how they should be submitted;
  2. The date by which the candidate must submit all required materials;
  3. Link to the Non-Senate CALL and any relevant local procedures. For *represented* titles only, additional links to the applicable collective bargaining agreement article(s) for merits and promotions; and
  4. A statement of the date by which the merit increase or promotion in question will be effective.
- C. **The Deans are under no obligation to consider cases in which the candidate for review does not supply documents and information by any deadlines set.** Files (other than mandatory appraisal, quinquennial, 7<sup>th</sup> year promotion reviews, and mandatory performance reviews) not received in the Dean's Office by the final due date may be returned for consideration during the next academic year. Such files will be classified as deferrals and will not be considered for retroactive action.
1. Requests for extension are outlined in Section II.F "Extension Requests" below.
  2. For *represented* titles, see Section IV for further information on deferrals and deadlines.
- D. **Approved merit and promotion actions will be effective July 1 of the current review cycle, unless otherwise listed in the notice pursuant to Section I.B above.** If an approval decision is made after the effective date, the merit increase or promotion will be retroactive to the effective date listed in the notice pursuant to Section I.B above.

## II. General Procedures

### A. Approval Authority

1. All merit, promotion, and appointment decisions on Non-Senate titles are **Dean's Final**. The Delegation of Authority Chart provides information on the final authority on review actions. It can be found on the APO website:

<http://academicpersonnel.ucr.edu/resources/doachart.pdf>

2. Exceptions to the policy as outlined herein must receive Vice Provost for Academic Personnel ("VPAP") approval.
3. The Dean's Office will remain the office of record for maintenance of personnel files for all Non-Senate titles covered herein.

### B. Roles and General Process for all Reviews

1. Under [Bylaw 55 A.1 and 2, and B.8](#), the tenured Faculty members of a department shall establish the method by which personnel matters are determined. In general, the following process is recommended for review of Non-Senate employees:

- 1) **Supervisor**

The supervisor (who, depending on the context, may be in a Principal Investigator ("PI"), Director, or Department Chair role), issues a letter of recommendation regarding the performance of the Non-Senate employee.

- 2) **Department Committee**

All Senate Faculty within a department are eligible to vote on all non-senate academic personnel actions, after reviewing the Supervisor letter and all relevant materials.

In addition, the right to vote on non-senate academic personnel actions may be delegated by 2/3 vote of eligible faculty to duly assigned committees. Under the same vote requirement, the vote on personnel actions may also be extended to non-Senate academics.

It is recommended at least one member from the same series as the employee under review be an advisory member of the voting committee.

2. The Dean reviews all recommendations and issues a final decision for all Non-Senate files.
3. The general tenants for equivalent and relevant procedures, as outlined in [The Call, Sections II.A.5 - II.A.10 and III](#), should be used as needed to provide guidance on process execution, and applied as applicable to the Non-Senate employee's role.

4. **For all term appointments**, a reappointment recommendation should accompany any merit file, promotion file, or performance review file to justify the continued appointment. The recommendation for reappointment should be contained in a separate document detailing the following (*as appropriate*):

- 1) Vote and discussion
- 2) Term of reappointment
- 3) % appointment
- 4) Funding source and stability



### C. Eligibility

Below is a general overview of each title’s rank and step, as well as the normal time in each step, in years.

Titles	Step I	Step II	Step III	Step IV	Step V	Step VI	Step VII or Greater	
Assistant Adjunct Professor	2	2	2	2	2	2		
Associate Adjunct Professor	2	2	2	3	3			
Adjunct Professor	3	3	3	3	3	3+	3+*	
Assistant Professional Researcher	2	2	2	2	2	2		
Associate Professional Researcher	2	2	2	3	3			
Professional Researcher	3	3	3	3	3+	3+	3+	
Assistant Project Scientist	2	2	2	2	2	2		
Associate Project Scientist	2	2	2	3	3			
Project Scientist	3	3	3	3	3+	3+	3+	
Junior Specialist	1	1						
Assistant Specialist	2	2	2					
Associate Specialist	2	2	2	2				
Specialist	3	3	3	3	3	3	3*	
Academic Coordinator	2+	2+	3+					
Academic Administrator	2+	2+	2+	2+	2+	2+	2+	

“+” indicates that service at this step may also be for an indefinite time. See Section IV for further details

\*Time at Step IX or Above Scale is for **4 years** but may be for an indefinite time. See Section IV for further details.

-  – Indicates an overlapping step (IV-V or V-IV overlap with I-II in the next rank).
-  – Not applicable/available step for the title

Refer to each individual title series in Section IV for the specifics regarding each title’s appropriate appointment length of time, as well as any limitations of service. Refer also to Section III for additional appointment requirements for *represented* academic titles.

#### **D. Overlapping Steps**

Overlapping 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.

Once advanced to an overlapping step, the normal progression is for promotion to the next rank. Upon advancement to an overlapping step, if the candidate is promoted earlier than the normal years at step for Step I or II of the higher rank, promotion should be lateral and eligibility for future merit will be determined based on the combination of years at the overlapping step and years at Step I or at the higher rank.

#### **E. Off-Cycle Reviews and Accelerations**

An off-cycle review is one that takes place earlier than the standard review schedule for the rank and step, and is conducted at the sole discretion of the Dean. Deans may delegate their authority to approve requests.

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. To this end, Chairs or Supervisor (if not Chair) should review candidates performing at a superior level in advance of their normal eligibility for merit increase or promotion. As with any on time advancement, the individual's next eligible date for advancement will be based on the effective date of the approved accelerated advancement if an advancement in step occurs.

A candidate may also request an off-cycle review, providing reason and proposed acceleration for written approval by the Dean (routed through the Supervisor).

#### **F. Extension Requests**

A request for a late submission of the file must be for extraordinary reasons and be approved by the Supervisor (if not Chair), Chair, and Dean prior to the final due date for submission to the Dean's Office. Such a request must be forwarded through the same channels and will specify the reason for the delay and include the estimated date when the file will be received in the Dean's Office.

#### **G. Deferrals**

A request for a deferral must be submitted with justification to the Dean's Office, routed through the Supervisor (if not Chair) and Chair. Deans have final authority for approval (concurrence) for all Non-Senate deferral files.

Deferrals cannot be submitted in lieu of any mandatory reviews, such as quinquennial review. Refer to Section IV for further details and restrictions on deferrals as they pertain to each individual title series.

## **H. Limited Percentage Appointments**

For appointments with less than 100% time, reasonable judgment should be used when evaluating the review file for merit actions, such as the consideration for the proportional amount of relevant material available in such a limited appointment. However, promotion to a higher rank should only occur with a level of accomplishment commensurate with that rank at 100% time.

The appointment length requirements and timetable of required reviews for these titles still apply regardless of appointment percentage; see Sections III and IV for more information.

## **I. Non-Salaried Titles**

Non-Salaried titles arriving at the normal time of review are not required to submit merit or performance review files. Instead, upon time for reappointment, an “Appropriateness Review” should be conducted.

Holding a university title means that appointees may represent themselves as affiliated with the campus. For example, someone with a university title may have this title on their business card or in the signature line on correspondence. It is in the university’s best interest to regularly review appointments to ensure that the affiliation is still appropriate.

The Appropriateness Review consists of the candidate and a representative of the candidate’s unit (e.g. the PI) each providing a brief statement of why it is appropriate for the university affiliation to continue. This should be reviewed by the Chair or other appropriate Unit Head and forwarded with a recommendation to the Dean. Concurrence by the Dean is required to continue or discontinue the appointment.

## **J. Appeals Review Process**

When there is a significant difference between the recommendations at the department level (both the chair/supervisor and the department/committee vote) and the Dean’s decision on cases of promotion, retention, or dismissal, then the candidate may request the review file go to the VPAP for review.

If the department level recommendation was positive and the Dean’s decision was negative, this constitutes a significant difference, and the file is eligible for an appeal.

However, in cases of merit reviews, the Dean’s decision as to whether a candidate receives standard or accelerated merit does not constitute a significant difference, and the review file is not eligible to go to the VPAP for review.

## **K. Access to Academic Review File**

Candidates under review may request to examine their academic review file in accordance with the applicable provisions of [APM 160](#) ([Article 20](#) for *represented* researcher titles).



## **L. Grievances**

The Dean's Office should be contacted directly for allegations of violations of procedures. The provisions of [APM 140](#) and [local procedures](#) apply this policy. For violations of the CBA for represented Academic Researcher titles, grievances should be filed pursuant to [Article 7 – Grievance and Arbitration](#).

## **M. Performance Management, Corrective Action, and Dismissal**

This policy does not cover the performance management of Non-Senate appointees outside of the academic review, nor corrective action/discipline or dismissal. For all titles encompassed within the Non-Senate CALL, please refer to the [UCR Performance Management, Corrective Action, and Dismissal \(PMCAD\)](#) policy.

If an appointee has failed a performance review (such as a merit), but is still reappointed, the Supervisor/Chair should take the appropriate action(s) to improve performance, pursuant to the PMCAD policy.

## **N. Applying this Policy to Programs with No Dean, Chair, or Department Structure**

At the discretion of the head of the Program, elements outlined in this policy, such as the roles of “Dean” or “Department” may be substituted with the equivalent bodies, as appropriate.

## **O. Other Information for Non-Senate Employees**

- 1) Principal Investigator (“PI”) status is governed by the office for Research and Economic Development (“RED”). Further information can be found here:

<https://research.ucr.edu/spa/lifecycle/proposalpreparation/pi-eligibility>

- 2) If seeking any additional information on the academic review process, including local department procedures and specific college/school/program practices, candidates should not hesitate to reach out to their Academic Personnel team in their Dean's Office or equivalent. Information for these offices can be found below:

<https://academicpersonnel.ucr.edu/our-partners>

### III. Appointments

This section applies to all Non-Senate titles. For purposes of this section, the term “Academic Researcher” refers to any *represented* Professional Researcher, Project Scientist, or Specialist series appointee. Minimum appointments described in **Section A** below do not apply to all *non-represented* titles.

#### A. Length of Appointment – *Represented Academic Researcher Titles Only*

##### 1. Length of Appointment – Initial Appointments

Effective November 9, 2019, all of the appointments leading up to a represented Academic Researcher’s first merit review shall be for a minimum of one-year terms, provided that there is **work, programmatic need, and appropriate funding**. A department must provide justification to the Dean’s Office for an appointment that is not for the minimum one-year term. If adequate justification is not provided, the appointment request may be rejected, pending the provision of any appropriate justification.

For purposes of this requirement, an “initial appointment” is defined as any appointment after November 9, 2019 but before the conclusion of the first merit review. For certain ranks and steps, there may be multiple “initial appointments” prior to the first merit review.

##### 2. Length of Appointment – Post-Merit Appointments

Once the Academic Researcher has undergone their first merit review, if they are reappointed, they will be reappointed for a term equivalent to at least the normative time for their rank and step (*see chart in Section II above and Section IV below*). Unlike initial appointments, no exceptions are allowable under the [CBA](#) for less than normative time.

An Academic Researcher at any step with no normative time must be reviewed at least every five (5) years. Following the initial merit review, they shall be reappointed for a minimum of three (3) years which may be followed by a subsequent two (2) year appointment to bring the Academic Researcher to the next five (5) year review.

3. Departments are not prohibited from providing longer-term appointments than the minimums articulated above. A longer-term appointment may be appropriate to sync up the term appointment with the merit review cycle (i.e. July 1 – June 30). (Example: An initial one year appointment normally ending in May, is instead made to end on June 30.)

#### B. Percentage Appointment – *All Titles*

1. The supervisor shall ensure that the overall effort expected of an appointee is commensurate with the appointment percentage. Appointment percentages must be in measurable effort (e.g. 75%, not 71.3%). For appointments at less than 100% FTE, work effort restrictions (e.g. At 80% FTE, work is Monday through Thursday) should be communicated to the appointee in writing, such as in the Letters of Expectations (see Section C.3 below).

2. When an appointee simultaneously holds another University of California position, the sum of all University appointments shall not exceed one-hundred percent (100%).

### **C. Notice of Appointment (Appointment Letters)**

#### **1. Represented Academic Researcher Titles**

As soon as practicable, but no later than seven (7) calendar days following the start of the appointment, the Department or Dean's Office shall provide an Academic Researcher a written notice of appointment or reappointment. The appointment notice shall include:

- a. Job title;
- b. Appointment percentage;
- c. Supervisor's name;
- d. Department or academic/researcher unit;
- e. Anticipated place of employment (location of worksite – e.g. main campus, remote location, medical center, building name, etc.);
- f. A brief description of the anticipated research project(s);
- g. Salary;
- h. A summary of benefits including eligibility for participation in UC health and wellness benefits and the University of California Retirement Plan, as well as the requisite enrollment information;
- i. A statement that the Academic Researcher is exclusively represented by the UAW, and the website address for the Union and the Agreement;
- j. Name of a person to contact for information regarding the appointment (with contact information); and
- k. Links to the applicable collective bargaining agreement article(s) and the campus guidelines and procedures for merits and promotions (the Non-Senate CALL).

#### **2. Non-Represented Titles**

As soon as practicable, the University shall provide a written notice of appointment or reappointment. The appointment notice shall include of items *a-h* in Section C.1 above (*where applicable*), and a link to the Non-Senate CALL.

#### **3. Other Appointment Documents**

In accordance with the [UCR Performance Management, Corrective Action, and Dismissal \(PMCAD\)](#) policy, all Non-Senate appointees must have their scope of employment defined in a Job Description and clear written expectations provided upon hire. It is strongly recommended that Job Descriptions and Letters of Expectation be done as part of the initial appointment process. Dean's Office Academic Personnel Directors are to determine local implementing practice for PMCAD compliance in this area.

It is also strongly recommended that upon reappointment, Supervisors review both the existing Job Description and Letter of Expectations documents for any needed revisions and/or re-issuances. See Section IV for additional title-specific requirements in this area.

#### **D. Notice of Non-Reappointment**

For appointments with end dates, no 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.

A written Notice of Intent not to reappoint *must* be given if the employee has served at 50% or more for eight or more consecutive years in the same title or series. The Notice of Intent not to reappoint must be given at least 60 days prior to the appointment's specified end date.

Refer to [APM 137](#) when initiating a Notice of Non-Reappointment for *non-represented* titles, or see the [appropriate title series article](#) under the CBA for *represented* titles.

#### **E. Layoff and Reduction in Time**

This policy does not cover layoffs or reductions in time. Refer to [APM 145](#) for *non-represented* titles, or [Article 11](#) under the CBA for *represented* titles.

#### **F. Limitations of Service Exceptions**

For appointments with a maximum limit in their title, an exception may be made to extend their appointment, in no more than 2 year increments. Exception requests are to be submitted through the waiver process via APRecruit, and must provide adequate justification for the extension. The VPAP will review and make a determination.

An example of an appropriate request is (but not limited to):

When grant funding extends for a limited time past the service limit and it is in both the University's and the individual's best interest to retain existing personnel instead of performing a full recruitment for a relatively minimal period of time.

## IV. Individual Titles

The following section contains the policy and procedure for appointments, compensation, and review criteria for each individual Non-Senate title series:

#	Title	APM Policy	Contract Article
IV.A	Adjunct Professor Series	<a href="#">APM 280</a>	N/A
IV.B	Professional Research Series	<a href="#">APM 310</a>	<a href="#">Article 21</a>
IV.C	Project (e.g, Scientist) Series	<a href="#">APM 311</a>	<a href="#">Article 22</a>
IV.D	Specialists Series	<a href="#">APM 330</a>	<a href="#">Article 26</a>
IV.F	Academic Coordinator	<a href="#">APM 375</a>	N/A
IV.G	Academic Administrator	<a href="#">APM 370</a>	N/A

Refer to **Appendix A** for information regarding Visiting (Research, Project Scientist, and Specialist series) Appointments. All visiting appointments are governed by [APM 230](#).

Please refer to **Appendix E** for a list of Represented and Non-Represented Academic Researcher title codes, Out-of-Unit movement procedures, and further information on Represented titles.

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### **Other Non-Senate Academic Titles - Not covered under this policy** *(e.g. Unit 18 Faculty, Library, UNEX, and School of Medicine)*

1. For **Unit 18 Faculty (e.g. Lecturers)**, please refer to their [appropriate CBA](#), as well as all relevant [UCR local resources](#) on the [Academic Personnel Office website](#).
2. For the **Librarian Series**, see the Librarian Call:  
[https://academicpersonnel.ucr.edu/checklists\\_and\\_forms/academic\\_reviews/LibCall.pdf](https://academicpersonnel.ucr.edu/checklists_and_forms/academic_reviews/LibCall.pdf)  
For **Assistant and Associate University Librarian** series, see the AUL Call:  
<https://academicpersonnel.ucr.edu/sites/g/files/rcwecm1261/files/2020-10/FINAL%20AUL%202020-2021%20CALL.PDF>
3. For UNEX titles, such as **UNEX Instructors, UNEX Program Coordinators, and Continuing Educators**, please refer to [INSERT LINK]
4. For **Postdoctoral Scholars (Postdocs)** and **Graduate Student Employees (ASEs and GSRs)**, please refer to Graduate Division policies and procedures at:  
<https://graduate.ucr.edu/postdoctoral-studies>  
<https://graduate.ucr.edu/resources-and-policies>
5. For other **Non-Senate titles** residing in the School of Medicine (“SOM”), such as the **Health Sciences Clinical Professor Series**, please refer to the School of Medicine Academic Affairs page for relevant local procedures: <https://somacademicaffairs.ucr.edu/>. *All relevant SOM Non-Senate titles must still conform to the applicable processes outlined in Sections I-III above.*
6. For all other Non-Senate titles that are not addressed in this policy, such as CE Specialists, see the applicable [APM article](#) and local Dean’s Office-level policy.
7. Additional information for all Non-Senate titles can be found at:  
<https://academicpersonnel.ucr.edu/Non-Senate-Academics>

## ADJUNCT PROFESSOR SERIES

### I. Definition

The titles in this series may be assigned (1) to those who are predominantly engaged in research and who participate in teaching, or (2) to individuals who contribute primarily to teaching and have a limited responsibility for research or other creative work; these individuals may be professional practitioners of appropriate distinction. Appointees also engage in University and public service consistent with their assignments. See [APM 280](#) for the systemwide policy on Adjunct Professors.

### II. Ranks and Steps

Assistant Adjunct Professor I-VI  
Associate Adjunct Professor I-V  
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 steps of Associate Adjunct Professor IV and V which is 3 years. 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.

NORMAL TIME IN STEP				
Assistant	Associate	Full	Above Scale	Normal Period of Service at Step
Step	Step	Step	No Steps	
I				2 years
II				2 years
III				2 years
IV				2 years
V	I			2 years
VI	II			2 years
	III			2 years
	IV	I		3 years
	V	II		3 years
		III		3 years
		IV		3 years
		V		3 years
		VI		3 years
		VII		3 or more years
		VIII		3 or more years
		IX		4 or more years
			No steps Just merits	4 or more years between merit advancements

### III. Appointment Criteria and Procedures

#### A. Criteria for Appointment

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 a full explanation of this criteria.

- B. For salaried positions, the procedures and policies concerning appointment within the ladder ranks will apply to these positions. (See: [The Call.](#)) The same checklists for appointment should be used when preparing cases.

#### **The following policies apply to without-salary Adjunct appointments**

#### C. Restrictions and Review Process for Without-Salary (WOS) Adjunct appointments

1. Appointment may be made at the Assistant Adjunct Professor, Associate Adjunct Professor, or Adjunct Professor rank. 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.
2. To request a without salary appointment the following documents must be submitted to the Dean's office:
  - Up-to-date CV
  - 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.
3. 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.

4. Extramural letters are not mandatory, but may be required at the discretion of the Dean.

#### **IV. Term of Appointment**

##### *A. Assistant Rank*

1. Appointment or reappointment at the Assistant rank may be for a maximum term of two (2) years.
2. Appointments greater than 50% are limited to a total of eight years of service at the Assistant Professor level (with the eighth year being a terminal year). Appointments at 50% or less are not subject to the eight-year limit.

##### *B. Associate Adjunct Professor and Full Adjunct Ranks*

1. Associate Adjunct Professor rank (Steps I, II, III) - Appointments or reappointments may be for up to a maximum of two (2) years.
2. Associate rank (Steps IV, V) and full rank - Appointments or reappointments may be for up to a maximum of three (3) years.

##### *C. Appointments may be paid or without salary; full-time, part-time, or at 0 percent time.*

##### *D. For salaried 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. A departmental vote is not mandatory, but may be required at the Dean's discretion.*

#### **The following policies apply to all salaried Adjunct appointments**

#### **V. Restrictions**

##### *A. Classification (i.e. versus Lecturer and Professional Researcher)*

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. Clinical teaching may also satisfy the teaching 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 (e.g., a faculty member who also has clinical responsibilities), 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 *Section 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. For example, in the case of a 50% appointment, only 25% can be supported by state funds.

Any exception requests must be in accordance with [APM 280-16.b\(2\)](#) and routed through APO for processing. The VPAP shall provide a preliminary recommendation to the Chancellor for their final review and approval.

- 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 the [Academic Hiring Toolkit and associated guidelines](#).

## **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. Appointees to this series who hold academic year (9/12 basis) appointments are eligible to receive additional compensation for summer research efforts at the 1/9 rate.
- D. Off-scale salaries are allowed within the same limits and policies as ladder faculty off-scale salaries. ([The Call](#) – Section II.B.10)

## **VII. Advancement Review Procedure**

- A. The criteria for advancement is listed in Section III.A above. See [APM 210-1](#) for a full explanation of this criteria.
- B. Procedures and policies concerning advancement within the ladder ranks will apply to these positions. (See: [The Call](#).) The same checklists for appointment and advancement should be used when preparing cases. For the appraisal of all Assistant level appointees who may be candidates for promotion, additional information is contained within [APM 280-83](#).

- C. All advancement actions are based on the individual's achievements. Normal advancement occur after 2 years at step at the Assistant or Associate rank and after 3 years at the Adjunct Professor rank. Merit increases are based on the academic record since the time of last positive review, while promotions, advancement to Adjunct Professor VI, and advancement to Adjunct Professor Above Scale are based on the career academic record. However, promotion reviews emphasis work since the last promotion.
- D. Any advancement requested prior to the normative time at step will be considered an acceleration and must be justified as such.
- E. All merits and promotions will be effective July 1.
- F. Completed cases must be submitted to Dean's Office by the established date in the Schedule for Academic Personnel Reviews. 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.
- G. 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.
- H. A formal appraisal of an Assistant Adjunct Professor will take place during the fifth year of service. The equivalent procedures outlined in [The Call](#) will be used.
- I. Appointees in the Adjunct series at the Associate and Full ranks 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.
- J. Extramural letters will be required in cases of: appointment as Assistant, Associate, and full Adjunct Professor, promotion to Associate Adjunct Professor, promotion to Adjunct Professor, advancement 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 (See: [The Call, which includes appropriate Sample Letters that can be used for this title series](#)).
- K. Deferral requests shall follow the same policy as for ladder faculty ([The Call](#)), with the exception that they are submitted through the Chair and the Dean only.

## **PROFESSIONAL RESEARCHER SERIES**

### **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. These titles do not have teaching responsibilities.

For System Wide policy on these titles, see [Article 21](#) of the Academic Researchers Unit CBA for *represented*, and [APM 310](#) for *non-represented* (refer to Appendix E for a list of represented vs non-represented title codes). For use of the Visiting prefix with this series, see Appendix A.

### **II. Ranks and Steps**

- A. Assistant Researcher I – VI
- B. Associate Researcher I – V
- C. Researcher I – IX

The normal time of service at each step within the Assistant and Associate rank is 2 years, except for service at the steps of Associate Researcher IV and V which is 3 years. Within the Full Researcher rank normal service at Steps I-IV is 3 years. Normal service at Step V and above is 3 years, but may be for an indefinite time. 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.

Assistant Step V and Associate Step I are overlapping steps. Assistant Step VI and Associate Step II are overlapping steps. Associate Step IV and Full Step I are overlapping steps. Associate Step V and Full Step II are overlapping steps. Time at the lower ranked step in a pair of overlapping steps may be in lieu of time at the higher ranked step in the same pair.

When time at an Assistant ranked step in a pair of overlapping steps is followed by time at the Associate ranked step in the same pair, the combined time at both steps may be two years. When time at an Associate ranked step in a pair of overlapping steps is followed by time at the Full ranked Step in the same pair, the combined time at both steps may be three years.

NORMAL TIME IN STEP			
Assistant	Associate	Full	Normal Period of Service at Step
Step	Step	Step	
I			2 years
II			2 years
III			2 years
IV			2 years
V	I		2 years
VI	II		2 years
	III		2 years
	IV	I	3 years
	V	II	3 years
		III	3 years
		IV	3 years
		V	3 or more years
		VI	3 or more years
		VII	3 or more years
		VIII	3 or more years
		IX or Above Scale	3 or more years

### III. Appointment Criteria and Procedure

#### A. Appointment 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:

1. 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.
2. Professional competence and activity equivalent to those for the Professor series.
3. University and/or public service at the Associate Researcher and Full Researcher ranks.

#### B. Appointment Procedure

1. Appointment cases are to be submitted to the Dean's Office. 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.
2. The appointment letter shall set forth any funding requirements for the position.
3. At the time of appointment, the voting faculty should be provided with a justification of why this is the appropriate series for appointment. Since individual circumstances may vary, the origin of their justification is left to the discretion of the unit making the appointment.

4. Assessment of appointment in the appropriate title code, including for a *represented* or *non-represented* role must be performed by the department and approved by the Dean's Office. See *Appendix E* below for further details.

C. Reappointment Procedure

1. Reappointments are to be submitted to the Dean's Office. The timing of the reappointment will be based on the original start date and end date of the appointment and/or the availability of funding.
  2. Review of reappointment in the appropriate title code for either *represented* or *non-represented* roles must be performed by the department and approved by the Dean's Office. This includes a reassessment of supervisory duties for the determination of supervisor-status. See *Appendix E* below for further details.
- D. An individual who currently holds a Research series appointment at UCR and participates in research activities in a department or program in which they do not hold a salaried appointment may receive affiliated status in the host department or program. 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. The Chair of both the home and host department must endorse the request.

**IV. Term of Appointment**

- A. Service as a 100% Assistant Researcher is limited to eight years of service (with the 8<sup>th</sup> year being the terminal year). 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. If service is at 50% or less, the potential period of service is doubled. If service is at more than 50%, then the period is the same as for 100% appointees. The [clock may also be stopped](#) under the same circumstances as tenure-track faculty.
- C. *Represented Researcher titles* – Appointments and reappointment lengths follow the terms and provisions of *Non-Senate CALL Section III – Appointments, subsection A*.
- D. *Non-represented Researcher titles* – Appointments or reappointments may be for up to the normative time at rank and step, 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 an academic or fiscal year (11 months) basis, and whether they are represented or non-represented. See the [UCOP Academic Salary Scales](#), Tables 13 through 14 for the most current salary scales.

- B. The Economics/Engineering Professional Research salary scales will be used when either:
1. The unit is an Engineering unit (departments and research units reporting to the Dean of Engineering) or the Department of Economics;  
or:
  2. The unit is multi or interdisciplinary and includes both engineering or economics and other disciplinary activity. 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.

- C. In most cases, a Research series appointment will be a salaried position. Without salary status may be appropriate when there is no expectation of funding.
- D. Each source which provides compensation for service in this series must permit research.
- E. Off-scale salaries are allowed within the same limits and policies as ladder faculty off-scale salaries. ([The Call](#) – Section II.B.10)

## **VI. Advancement Criteria and Procedures**

### **A. Advancement Criteria**

1. All advancement actions are based on the individual's achievements in:
  - i. Research and Creative Work
  - ii. Professional Competency and Activity
  - iii. University and/or public service (at the Associate Researcher and Full Researcher ranks)

These standards are described in further detail within [APM 310](#) (*non-represented*) and [Article 21](#) (*represented*), and should be utilized for any review.

2. Advancement to Full Researcher Step VI and higher, including Above Scale
  - i. This advancement involves an overall career review and will be granted on evidence of sustained and continuing excellence in scholarship or creative achievement. Above and beyond that, great academic distinction, recognized nationally or internationally, will be required in scholarly or creative achievement. Advancements to Full Steps VII through IX will only be granted on evidence of continuing achievement at the level required for advancement to Step VI.
  - ii. Advancement to Above Scale involves an overall career review and is reserved only for the most highly distinguished researchers whose work of sustained and continuing excellence has attained national and international recognition and broad acclaim reflective of its significant impact. While advancement will not occur after less than four years at Step IX, mere length of service and continued good performance at Step IX is not justification for further salary advancement. There must be demonstration of additional merit and distinction beyond the performance on which advancement to Step IX was based.
  - iii. A further merit increase in salary for a Full Professional Researcher already serving at an above-scale salary level must be justified by new evidence of merit and distinction. Continued good service is not an adequate justification. Intervals between such salary increases may be indefinite, and only in the most superior cases where there is strong and compelling evidence will increases at intervals shorter than four years be approved.

B. Advancement Process: Merit and Promotion

1. Advancement cases are to be submitted to the Dean's Office using the checklist of documents to be submitted by the Chair for Professional Researcher reviews (See Appendix B).
2. **Review Period**
  - a. Normal advancement occurs after 2 years at step at the Assistant or Associate level steps I-III and after 3 years at the Associate level steps IV-V and Full Research level. Any advancement requested prior to that time will be considered an acceleration and must be justified as such.
  - b. *Represented Researcher titles* – The review schedule for an appointee with an initial date of appointment between January 2 and June 30 will not commence until July 1 of that year. On July 1 of that year, the normal review schedules shall then apply.

- c. Merit increases are based on the academic record since the time of last review, while promotions, advancement to Researcher VI, and advancement to Researcher Above Scale are based on the career academic record.
3. All merits and promotions will normally be effective July 1. Completed cases must be submitted to the Dean's Office, as established in the *Schedule for Academic Personnel Reviews (Section I)*, preceding the effective date.
4. **Deferrals**
  - a. *Non-Represented*: A 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. No deferrals are allowed for the Assistant rank.
  - b. *Represented*: A deferral can only be initiated with the written request of the candidate, in accordance with the procedures outlined in *Section II.G Deferrals*. If no deferral is requested, and 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.
5. **Quinquennial Review**

Appointees in the Research series must undergo a performance review at least once every five years (if no merit or promotion review took place prior), which is to include 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.

## **VII. Supervisor Letters of Recommendation**

- A. For advancement, the Supervisor's letter should include an evaluation of the candidate's record in all review areas (see Advancement criteria, above). The evaluation is expected to meet the standards set forth in [APM 310/Article 21](#) which prescribe that candidates for appointment or advancement in the Research series have research qualifications equivalent to those of the corresponding ladder faculty rank.
- B. Each unit should establish set procedures for evaluation of Research appointments and advancements and development of the department letter of evaluation.

## **VIII. External Evaluation**

- A. Extramural letters will be required in cases of:
  - i. Promotion to Associate Researcher and full Researcher
  - ii. Advancement to Full Step VI and to full Researcher Above Scale



- B. For cases of appointments, letter requirements are governed by the [Academic Hiring Toolkit](#). Deans may establish additional requirements for letters for appointment.
- C. A minimum of four (4) extramural letters must be included for proposed promotion to Associate level, a minimum of six (6) for the Full Researcher level.
1. At least half of the letters submitted with the case should come from references chosen by the Department or Program independent of the candidate.
  2. Letters from faculty or researchers at other UC campuses are essential for appointment/advancement to Researcher, Step VI or above-scale preferably from individuals already at the senior ranks.
- D. 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.
1. 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.
  2. In all cases of solicitation of outside letters, the sample letter for solicitation of extramural letters (Appendix B) is to be used, with the following considerations:
    - **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.]

## **PROJECT SCIENTIST SERIES**

### **I. Definition**

The titles in this series are given to those who make significant and creative contributions to a research or creative project in any academic discipline. Appointees may be ongoing members of a research team, or may contribute high-level skills to a specific project for a limited time. Appointees in this series are not required to carry out independent research or to develop an independent research reputation, nor do they have teaching responsibilities. 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.

For System Wide policy on these titles, see [Article 22](#) of the Academic Researchers Unit CBA for *represented*, and [APM 311](#) for *non-represented* (refer to Appendix E for a list of *represented* vs *non-represented* title codes). See Appendix A for procedures for Visiting appointments in this series.

### **II. Ranks and Steps**

- A. Assistant Project Scientist I – VI
- B. Associate Project Scientist I – V
- 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 steps of Associate Project Scientist IV and V which are 3 years. 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. 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.

Assistant Step V and Associate Step I are overlapping steps. Assistant Step VI and Associate Step II are overlapping steps. Associate Step IV and Full Step I are overlapping steps. Associate Step V and Full Step II are overlapping steps. Time at the lower ranked step in a pair of overlapping steps may be in lieu of time at the higher ranked step in the same pair.

When time at an Assistant ranked step in a pair of overlapping steps is followed by time at the Associate ranked step in the same pair, the combined time at both steps may be two years. When time at an Associate ranked step in a pair of overlapping steps is followed by time at the Full ranked Step in the same pair, the combined time at both steps may be three years.

NORMAL TIME IN STEP			
Assistant	Associate	Full	Normal Period of Service at Step
Step	Step	Step	
I			2 years
II			2 years
III			2 years
IV			2 years
V	I		2 years
VI	II		2 years
	III		2 years
	IV	I	3 years
	V	II	3 years
		III	3 years
		IV	3 years
		V	3 or more years
		VI	3 or more years
		VII	3 or more years
		VIII	3 or more years
		IX or Above Scale	3 or more years

### III. Appointment Criteria and Procedures

- A. The candidate must possess a doctorate or its equivalent at the time of initial appointment.
- B. The candidate will be judged based on the following criteria:
  1. Demonstrated significant, original, and creative contributions to a research or creative program or project
  2. Professional competence and activity
- C. Classification (i.e. versus Postdoctoral Scholar)

If the appointee has recently received their Ph.D (with “recently” being defined as 6 months or less), than a clear justification is needed to demonstrate that an appointment in this series would be more appropriate than appointment in the Postdoctoral Scholar series.

#### A. Appointment Procedure

1. Appointment cases are to be submitted to the Dean’s Office. 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.

2. Assessment of appointment in the appropriate title code, including for a *represented* or *non-represented* role must be performed by the department and approved by the Dean's Office. See *Appendix E* below for further details.

B. Reappointment Procedure

1. Reappointments are to be submitted to the Dean's Office. The timing of the reappointment will be based on the original start date of the appointment and/or the availability of funding.
2. Review of reappointment in the appropriate title code for either *represented* or *non-represented* roles must be performed by the department and approved by the Dean's Office. This includes a reassessment of supervisory duties for the determination of supervisor-status. See *Appendix E* below for further details.

**IV. Term of Appointment**

- A. *Represented Project Scientist titles* – Appointments and reappointment lengths follow the terms and provisions of *Section III – Appointments, subsection A*.
- B. *Non-represented Project Scientist titles* – Appointments or reappointments may be for up to the normative time at rank and step, if guaranteed funding is available.
- C. There are no limits on service at any level in this series (such as an eighth-year limitation on the Assistant-rank).

**V. Compensation**

- 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, , and whether they are represented or non-represented. See the [UCOP Academic Salary Scales](#), Tables 37 through 38 for the most current salary scales.
- B. The Engineering/Economics Project Scientist salary scales will be used when either:
  1. The unit is an Engineering unit (departments and research units reporting to the Dean of Engineering) or the Department of Economics  
or:
  2. The unit is multi or interdisciplinary and includes both engineering or economics and other disciplinary activity. 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

- C. In most cases, a Project Scientist appointment will be a salaried position. Without salary appointments may be appropriate when there is no expectation of funding. 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 (*see Appendix A – Visiting Appointments*).
- D. Salaries are subject to range adjustment.
- E. Each source which provides compensation for service in this series must permit research.
- F. Off-scale salaries are allowed within the same limits and policies as ladder faculty off-scale salaries. ([The Call](#) – Section II.B.10)

## **VI. Advancement Criteria and Procedures**

### **A. Advancement Criteria**

1. 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
2. University and public service are encouraged but not required.
3. Advancement to Full Project Scientist Step VI or higher, including to Above Scale

This advancement will be granted on evidence of sustained and continuing excellence in scholarship or creative research achievement involving great academic distinction recognized nationally or internationally. Advancements to Full Steps VII through IX will only be granted on evidence of continuing achievement at the level required for advancement to Step VI.

### **B. Advancement: Merit and Promotion**

1. Advancement cases are to be submitted to the Dean's Office and using the checklist of documents to be submitted by the chair for research reviews (See Appendix B).

## 2. Review Period

- a. Normal advancement occurs after 2 years at step at the Assistant or Associate level steps I-III and after 3 years at the Associate level steps IV-V and Full Project Scientist level steps I-IV and every 5 years at Full Project Scientist Step V and above, including Above Scale. Any advancement requested prior to that time will be considered an acceleration and must be justified as such.
  - b. Merit increases are based on the academic record since the time of last review while promotions, advancement to full rank – step VI, or to Above Scale are based on the career academic record.
  - c. *Represented Project Scientist titles* – The review schedule for an appointee with an initial date of appointment between January 2 and June 30 will not commence until July 1 of that year. On July 1 of that year, the normal review schedules shall then apply.
3. All merits and promotions will normally be effective July 1. Completed cases must be submitted to the Dean’s Office by the established date in the *Schedule for Academic Personnel Reviews (Section I)*, preceding the effective date.

## 4. Deferrals

- a. *Non-Represented*: A 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.
- b. *Represented*: A deferral can only be initiated with the written request of the candidate, in accordance with the procedures outlined in *Section II.G Deferrals*. If no deferral is requested, and 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.

## 5. Quinquennial Review

Appointees in the Project Scientist series must undergo a performance review at least once every five years (if no merit or promotion review took place prior), 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.

## VII. Supervisor Letters of Recommendation

- A. The Supervisor's letter of recommendation for advancement should include an evaluation of the candidate's record in all review areas (see Advancement Criteria, above).

- B. Each unit should establish set procedures for evaluation of Project Scientist appointments and advancements and development of the letter of recommendation.

### **VIII. External Evaluation**

- A. External letters of evaluation are normally required in cases of:
  - 1. Promotion to Associate Project Scientist
  - 2. Promotion to full Project Scientist
- B. For cases of appointments, letter requirements are governed by the [Academic Hiring Toolkit](#). Deans may establish additional requirements for letters for appointment.
- C. A minimum of four (4) letters at the Associate level, and six (6) at the Full Project Scientist level should be included. At least half of the letters submitted with the case should come from references chosen by the Department or Program independent of the candidate. These letters may be from any relevant party, including other employees within the department, program, unit, or lab.
- D. 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 UCR. In these cases, the decision to solicit from internal sources should be clearly discussed in the departmental letter.
- E. 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.
- F. When letters are solicited either externally or internally, the sample letter for solicitation of extramural evaluators is to be used, with the following wording inserted as appropriate:

\_\_\_\_\_is being considered for (an appointment/promotion to) (Assistant Project Scientist/Associate Project Scientist/Project Scientist) in the (department/unit). Appointment (or Promotion) to (Assistant Project Scientist/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.]
- G. In rare circumstances it may be appropriate to waive the requirement for letters of evaluation. Requests to waive letters must be submitted to the Dean prior to submission of the appointment or promotion case.



## SPECIALIST SERIES

### 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 formal teaching responsibilities. Specialists 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 required by the job description for the position.

Most Specialist appointments are made to provide research projects with special skills, experience, and knowledge. A Specialist provides considerable independent input into the planning and execution of research; however, the Specialist generally works under the direction of an appointee in the Professional Research or Professorial series. Individuals may be appointed in the Specialist Series to positions in which conducting research is not the principal responsibility, and in which they provide specialized skills in support of research. The Specialist provides a service to a supervisor, a group, or the institution.

For System Wide policy on these titles, see [Article 26](#) of the Academic Researchers Unit CBA for *represented*, and [APM 330 & UCOP Specialist Toolkit](#) for *non-represented* (refer to Appendix E for a list of *represented vs non-represented* title codes). See Appendix A for procedures for visiting appointments in this series.

### II. Ranks and Steps

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

The normal time at each step within the Junior Specialist rank is 1 year. The normal time at each step within the Assistant and Associate Specialist rank is 2 years. Within the Full Specialist rank normal time at Steps I-VIII is 3 years. Time at Full Specialist, Step IX is for 4 years but may be for an indefinite time.

With the exception of Junior Specialists, for initial appointments that begin mid-cycle, the time for the first review period may be more or less than the normative time above (see *Review Period* below).

NORMAL TIME IN RANK AND STEP	
Junior	1 Year
Assistant and Associate	2 Years
Full Specialist	3 Years
Full Specialist, Step IX & Above Scale	4 Years or more

### III. Appointment Criteria and Procedures

A. The following are the qualifications and general guidelines for each rank:

1. **Junior Specialist:** Appointees should possess a baccalaureate degree (or equivalent degree) or have equivalent research experience (e.g., with instrumentation and research equipment, software programs, social science research methods, humanities scholarship, or creative activities).

Appointment into this rank needs to be submitted with justification to the Dean's Office for review and approval when an appointee has just prior held a Lab Assistant position.

2. **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.
3. **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.
4. **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.

B. Classification (i.e. versus Postdoctoral Scholar)

If the appointee has recently received their Ph.D, and recently being 6 months or less, then a clear justification provided to the Dean's Office and APO is needed to demonstrate that an appointment in this series would be more appropriate than appointment in the Postdoctoral Scholar series.

C. Appointment Criteria

In judging a candidate for appointment to a position in this series, the following criteria applies, where appropriate:

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

These standards are described in further detail within APM 330 (*non-represented*) and Article 26 (*represented*), and should be utilized for any assessment.

D. Appointment Procedures

1. Appointment cases are to be submitted to the Dean's Office. 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.
2. Assessment of appointment in the appropriate title code, including for a represented or non-represented role must be performed by the department and approved by the Dean's Office. See Appendix E below for further details.

E. Reappointment Procedures

1. Reappointments are to be submitted to the Dean's Office. The timing of the reappointment will be based on the original start date of the appointment and/or the availability of funding.
2. Review of reappointment in the appropriate title code for either represented or non-represented roles must be performed by the department and approved by the Dean's Office. This includes a reassessment of supervisory duties for the determination of supervisor-status. See Appendix E below for further details.

#### IV. **Term of Appointment**

- A. Represented Specialist titles – Appointments and reappointments follow the terms and provisions of *Section III – Appointments, subsection A*.
- B. Non-represented Specialist titles – Appointments or reappointments may be for up to the normative time at rank and step, if guaranteed funding is available.
- C. There are no limits on service at the Assistant, Associate, and Full levels in this series.
- D. Represented Jr. Specialists – Junior Specialists are normally appointed for a term not to exceed one year, and may be reappointed for a maximum of one second full year. An additional reappointment for up to a third full year may be requested by a PI and is subject to review and approval by the Dean or appropriate designee. No Junior Specialist will be appointed at this rank for more than three (3) years.

- E. Junior Specialists who are domestic or foreign graduate students outside of the University of California (i.e. enrolled in a degree-granting doctoral program or the equivalent at an educational institution other than the University of California coming to UCR to perform research under the supervision of faculty, should be designated with the **Visiting** prefix. See *Appendix A* below for the policy on Visiting Specialist appointments.
- F. Junior Specialists do not undergo merit review.

## V. Compensation

- A. Individuals appointed to this series are compensated on the salary scales established for the Specialist Series on a fiscal year basis, and whether they are represented or non-represented. See the [UCOP Academic Salary Scales](#), Tables 24-A through 24-B for the most current salary scales.
- B. Off-scale salaries are allowed within the same limits and policies as ladder faculty off-scale salaries. ([The Call](#) – Section II.B.10)
- C. Salaries are subject to range adjustment.
- D. Each source that provides compensation for service in this series must permit research.

## VI. Advancement Criteria and Procedures

### A. Advancement Criteria

- 1. In judging a candidate for appointment, merit, or promotion to a position in this series, the following criteria applies, where appropriate:
  - a. Performance in research in the defined area of expertise and specialization.
  - b. Professional competence and activity.
  - c. University and public service

These standards are described in further detail within [APM 330](#) (*non-represented*) and [Article 26](#) (*represented*), and should be utilized for any review.

### 2. Advancement to Above-Scale

- a. Advancement to Above-Scale status involves an overall career review and is reserved for only the most highly distinguished Specialists whose:
  - i. work of sustained and continuing excellence has attained national and international recognition and broad acclaim reflective of its significant impact;
  - ii. professional achievement is outstanding; and
  - iii. service is highly meritorious

- b. Advancement requires demonstration of additional merit and distinction beyond the performance on which advancement to Full Specialist, Step IX was based. Except in rare and compelling cases, advancement will not occur in less than four years at Step IX; mere length of service and continued performance at Step IX is not justification for further advancement.
- c. A further merit increase for an individual already serving at Above-Scale salary level must be justified by new evidence of distinguished achievement; continued performance is not an adequate justification. Only in the most superior cases with strong and compelling evidence will a further increase be approved at an interval shorter than four years.

B. Advancement: Merit and Promotion

- 1. Advancement cases are to be submitted to the Dean's Office and using the checklist of documents to be submitted by the chair for research reviews (See Appendix B).
- 2. **Review Period**
  - a. Normal advancement occurs after two years at step at the Assistant and Associate level, 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.
  - b. *Represented Specialist titles* – The review schedule for an appointee with an initial date of appointment between January 2 and June 30 will not commence until July 1 of that year. On July 1 of that year, the normal review schedules shall then apply.
  - c. 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.
- 3. All merits and promotions will normally be effective July 1. Completed cases must be submitted to the Dean's Office, as established in the *Schedule for Academic Personnel Reviews (Section I)*, preceding the effective date.
- 4. **Deferrals**
  - a. *Non-Represented*: A deferral will be automatic if a Specialist does not submit material by the departmental due date and no case is forwarded by the department.

- b. *Represented*: A deferral can only be initiated with the written request of the candidate, in accordance with the procedures outlined in *Section II.G Deferrals*. If no deferral is requested, and 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.

5. **Quinquennial Review**

Appointees in the Specialist series must undergo a performance review at least once every five years (if no merit or promotion review took place prior), 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

**VII. Supervisor Letters of Recommendation**

- A. The Supervisor’s letter of recommendation for advancement should include an evaluation of the candidate's work and an evaluation of the candidate's contributions to the group effort, if relevant.
- B. Recommendations for promotion must in addition provide documentation of the scientific, technical, or otherwise creative contributions of the candidate (as contrasted to contributions to a group effort).
- C. Each unit should establish set procedures for evaluation of Specialist series appointments and advancements and development of the department letter of recommendation.

**VIII. External Evaluation**

- A. While extramural letters of evaluation are not required for appointment, promotion, or advancement to Above Scale in the Specialist series, Deans may establish any requirements for extramural letters for this series, as letters may be helpful in evaluating the candidate’s record.
- B. When letters are solicited, the sample letter for solicitation of extramural evaluators 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.]

- C. 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.

## ACADEMIC COORDINATOR

### 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.

Programs overseen by an Academic Coordinator must be fundamentally academic in nature, involving University research activities or activities requiring judgments relating to University instruction.

For the System Wide policy, see [APM 375](#).

### II. Ranks and Steps

A. This series contains the following ranks:

Academic Coordinator I  
Academic Coordinator II  
Academic Coordinator III

B. Ranks I and II include 15 steps and Rank III includes 9 steps.

C. There are no normative times at step and rank for this series. There is no expectation of movement between the levels without significant changes in the scope and complexity of the program being administered. The normal period of service prescribed for each salary step does not preclude more rapid advancement (acceleration) in cases of exceptional merit, nor does it preclude less rapid advancement.

### III. Appointment Criteria, Procedures, and Restrictions

A. Appointment Criteria

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. Classification of Rank

The appropriate rank will be determined by taking into consideration such factors as program scope and complexity. [APM 375, Appendix A](#), in addition to the [Criteria Form](#), 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 duties of an appointee may include limited involvement in the generation and/or coordination of funds. Appointees at this level will typically receive general supervision from the department chair, a faculty member, or other appropriate academic supervisor.

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. Duties may include moderate involvement in the generation and/or coordination of funds from different sources. The appointee is expected to manage the program with a great amount of independence, under the general direction of the assigned academic supervisor.

3. Academic Coordinator III:

Appointees will have primary responsibility for the administration, management, and coordination of large programs with broad and substantial complexity and who fulfill their responsibilities independently. These appointees may also be unit heads who report directly to Deans or Vice Chancellors. Their responsibilities may include the direction and supervision of a large staff and/or administration of a program with a broad, interdisciplinary scope that encompasses several colleges or schools within the campus, other UC campuses, or public and private agencies outside of the University. The duties of an appointee at this level may include extensive involvement in the generation and/or coordination of funds. 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. Appointment to this level may also require demonstrated scholarly ability and attainment, depending on the duties of the position.

- *For the purpose of assignment to the appropriate level, the size of the program in parallel with its scope may be considered to determine its complexity. Programs administered by Academic Coordinators will vary with regard to the size of the organization (for example, the number and level of staff directly reporting to the Academic Coordinator) and the scope of its mission (for example, the number and organizational diversity of the clientele with*



*whom the Academic Coordinator interacts). Thus, the independent coordination of a broad, horizontally-integrated network of affiliated programs may be considered equal in complexity to the management of a large, vertically-integrated University organization with many staff.*

- C. Pursuant to both APM 375-10.b and UCR PMCAD Policy, the following must be supplied to the Academic Coordinator:
  - 1. A job description and designation of a supervisor
  - 2. An explanation of the candidate's role in the program, and within a larger unit
- D. Individuals in an Academic Coordinator title who are assigned research or instructional duties are required to hold a dual title in the appropriate series. (However, they may conduct occasional non-credit seminars or workshops without holding a faculty title.)
- E. Academic Coordinators who also supervise candidates for a teaching credential shall hold an appropriate faculty title as a dual title.
- F. Appointment and Reappointment Procedures
  - 1. Appointment and reappointment cases are submitted to the Dean's Office.
  - 2. Pursuant to [APM 375-10.b](#), materials submitted in support of an appointment or reappointment shall provide a comprehensive assessment of the candidate's qualifications for the position and level assigned.
  - 3. Pursuant to both APM 375 and the [UCR Performance Management \(PMCAD\) policy](#), an up-to-date job description must be included with each request for appointment and reappointment.
  - 4. A performance review shall precede any reappointment. (See *Advancement Criteria and Procedure* below regarding performance reviews.) A negative decision may result in a non-reappointment, pursuant to [APM 137](#).

#### **IV. Term of Appointment**

- A. Appointments in this series can be made for any length of time, based on the availability of funding and operational need. Generally, appointments are made for two (2) years at Ranks I and II, and for three (3) years at Rank III.
- B. Appointments may be made for an indefinite period of time (i.e. with no specified end date) for reasons including, but not limited to, the recruitment of the best candidate to the position or due to the established long-term nature of the assigned role. (See *Appendix D* for further information when appointing for an indefinite period of time.)

- C. Appointments may be made on an academic-year or fiscal-year basis.

**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. See the [UCOP Academic Salary Scales](#), Tables 35 through 36 for the most current salary scales.
- B. Off-scale salaries are allowed within the same limits and policies as ladder faculty off-scale salaries. ([The Call](#) – Section II.B.10)
- C. Salaries are subject to range adjustment.

**VI. Advancement Criteria and Procedures**

A. Advancement Criteria

- 1. 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.
- 2. As enumerated in further detail within [APM 375-11](#), a request for merit or advancement will require evaluation of the candidate’s performance and activity in the areas of:
  - a. Coordination of the Academic Program
  - b. Professional Competence
  - c. University and Public service
  - d. Professional accomplishment and scholarly achievement (if required by the position)
- 3. A request for promotion must also address the change in scope and complexity of the program administered. (*See Section III.B above on scope.*)
- 4. Advancement Above-Scale

Advancement at the top step within rank must be justified by new evidence of merit and distinction. A positive evaluation will normally result in an increase ranging from 3% to 6%, applied as an increase in the above-scale supplement.

B. Advancements and Performance Reviews

1. Advancement cases are to be submitted to the Dean's Office using the checklist of documents to be submitted by the chair for Academic Coordinator reviews (See Appendix B).
2. An updated job description must be included with each Advancement file or Performance Review, along with an explanation of the candidate's role in the program and within a larger unit, if appropriate.
- 3. Review Period**
  - a. Merit reviews will normally occur once every 2 years at Rank I and II and once every 3 years at Rank III.
  - b. Accelerated advancement may be recommended in cases of demonstrated exceptional merit.
4. In cases where both Merit and Promotion are requested by the candidate, both actions must be accounted for in the decision letter (i.e. when a decision is made to deny the promotion, the merit could still be found positive). A "no action" recommendation should not be used for a denied promotion.
5. If above-scale advancement is not justified, a recommendation of "no action" may be made. In this context, a "no action" is defined as a neutral, non-prejudicial action for those already at the top salary step.
6. All merits and promotions will be effective July 1. Completed cases must be submitted to the Dean's Office by the established date in the *Schedule for Academic Personnel Reviews (Section I)*.
- 7. Performance Reviews**
  - a. In the absence of a reappointment, a merit, or a promotion (change in level) review, a performance review shall take place at least every two (2) years for an Academic Coordinator I and II and at least every three (3) years for an Academic Coordinator III.
  - b. An appointee who has reached the top step within rank will continue to be subject to review every two (2) or three (3) years, depending on rank.
  - c. Performance Reviews shall follow the same procedure as advancement reviews above.
8. At the Dean's discretion, User Letters may also be required.
9. No deferrals may be requested for any review.

## ACADEMIC ADMINISTRATOR

### I. Definition

The Academic Administrator series is used principally in organized activities other than organized research units for appointees who administer programs which provide service to academic departments, but not as totally or exclusively research or teaching activities; or are intended to serve the general public and may be either research or educational in nature.

The duties of the positions in this series are more in administration than in teaching and/or research, although the administration may include participation in as well as the overseeing of programs involving teaching, research, or academically-based public service.

Although the function of an Academic Administrator may include the overseeing of a program involving research, responsibility for engaging in research, while desirable, is not implied by appointment to this series.

See [APM 370](#) for System Wide policy on Academic Administrators.

### II. Rank and Step

- A. This series contains ranks I – VII, each with 15 salary steps.
- B. There are no normative times at step and rank for this series, nor is there an expectation of movement between the levels. The normal period of service prescribed for each salary step does not preclude more rapid advancement (acceleration) in cases of exceptional merit, nor does it preclude less rapid advancement.

### III. Appointment Criteria and Procedure

- A. A person appointed to a position in this series must have professional and academic qualifications similar to those of academic appointees in the organized activity with which the appointee is to be concerned. The appointees are required to have the terminal or top degree in their field, or the highest degree which is commonly expected for appointment in the activity.
- B. Appointment and reappointment cases are submitted to the Dean's Office. The timing of the reappointment will be based on the original start date of the appointment and/or the availability of funding.

#### **IV. Term of appointment**

- A. Generally, appointments are made for two (2) years; however, appointments in this series can be made for any length of time, contingent on the availability of funding and operational need.
- B. Appointments may be made for an indefinite period of time (i.e. with no specified end date) for reasons including, but not limited to, the recruitment of the best candidate to the position or due to the established long-term nature of the assigned role. (See Appendix D for further information when appointing for an indefinite period of time.)
- C. Appointees to this series accrue sick leave credit at the rate of one day per month of full-time service.
- D. Appointees to this series accrue vacation credit at the rate of two days per month of full-time service, with a maximum accumulation of forty-eight days of such credit.

#### **V. Compensation**

- A. Salaries are subject to range adjustment. See the [UCOP Academic Salary Scales](#), Table 34 for the most current salary scales.
- B. Appointees to this series shall be eligible for removal expenses subject to the limitations stipulated in APM 560 and to the extent that provision therefor is available in the fund source(s) from which their salaries are paid.
- C. Off-scale salaries are allowed within the same limits and policies as ladder faculty off-scale salaries. (The Call – Section II.B.10)
- D. Salaries are subject to range adjustment.

#### **VI. Advancement Criteria and Procedures**

- A. Merit increases and promotions are based on administrative experience, professional competence and activity, and University and public service.
- A. Advancement cases are to be submitted to the Dean's Office using the checklist of documents to be submitted by the chair for Academic Administrator reviews (*see Appendix B*).
- B. Merit reviews will normally occur once every 2 years.
- C. All merits and promotions will be effective July 1. Completed cases must be submitted to the Dean's Office by the established date in the *Schedule for Academic Personnel Reviews (Section I)*.

- D. If promotion of an appointee from one title to another within the series is justified, such promotion shall not normally occur until the individual has served at least six years with the lower title, including at least two years at the top step for that title.
- E. Merit increases and promotions are based on administrative experience, professional competence and activity, and University and public service.
- F. Advancement at the top step within rank must be justified by new evidence of merit and distinction. A positive evaluation will normally result in an increase ranging from 3% to 6%, applied as an increase in the above-scale supplement.
- G. A performance review, in the absence of a merit or promotion review, shall take place at least every four years. This review cannot be deferred.

**APPENDIX A  
VISITING APPOINTMENTS  
(RESEARCHER, PROJECT SCIENTIST, SPECIALIST)**

**I. Definition**

- A. 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.
- B. For visitors in the Specialist series, the prefix may be designated alternatively from A.2 above for those who are enrolled in a degree-granting doctoral program or the equivalent at an educational institution other than the University of California.
- C. See [APM 230](#) for System Wide policy on Visiting titles.

**II. Appointment and Advancement Criteria**

- A. The Visiting prefix may be used with titles in the Professional Research series, the Project Scientist series, or the Specialist series.
- B. 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.
- C. 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 Section IV on Compensation below.

**III. Term of Appointment**

A. Length of Service

1. Each appointment or reappointment with a Visiting prefix shall not exceed one (1) year. The total period of consecutive service shall not exceed two (2) years, unless a longer period is approved by the VPAP by exception.

2. Visitors in the Specialist series who are enrolled in a degree-granting doctoral program or the equivalent at an educational institution other than the University of California are limited to a one (1) year appointment, with no extensions, reappointments, or exceptions.
- B. 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.
  - C. All Visiting titles are considered *non-represented*. See Appendix E for a list of the appropriate title codes to use for visiting appointments in their respective series.

#### **IV. Compensation**

- A. Appointments will normally be paid, but may be made on a without salary basis in limited circumstances. Without salary appointments may be appropriate when an individual is visiting UCR but is being funded through either their home institution or some other external agency.
- B. For paid appointments the salary for a visiting position is negotiated.
- C. For Visiting Professional Researchers and Visiting Project Scientists, while the salary does not have to be on-scale on the corresponding regular series scale, the salary may not be below \$100 more annually than the minimum rate for Postdoctoral Scholars.
- D. Because these salaries are negotiated on an individual basis, they are not subject to range adjustments. For travel expense reimbursement, see [APM 230-20h](#).

#### **V. Appointment Procedures**

Requests for appointments or advancements for Visiting appointments shall be managed by the Dean's Office, and follow the same procedures as the regular titles.

#### **VI. Restrictions**

- A. Eligible service as a Visiting Assistant Researcher will count towards the University's eight-year limitation of service ([APM 133](#)).



## APPENDIX B DOCUMENTS

### SAMPLE LETTER FOR SOLICITATION OF EXTRAMURAL EVALUATION

Current Date

Name  
Department  
University

Dear [NAME],

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

➤ **INSERT APPROPRIATE PARAGRAPH FROM SAMPLES ABOVE HERE**

[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 and institutional affiliation 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. For further information, please take note of the attached University of California policy regarding the confidentiality of letters of evaluation which are included in the personnel review files.

[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

[Attach UC Confidentiality Policy – The Call [ATTACHMENT E-8](#)]

**Checklist for Preparing Academic Personnel Merit/Promotion Files for PROFESSIONAL RESEARCHERS**

Name: \_\_\_\_\_ Department: \_\_\_\_\_

	PROFESSIONAL RESEARCH SERIES DOCUMENT	MERIT	PROMOTION, ADV TO VI, ADV TO A/S	QUINQUENNIAL REVIEW
<input type="checkbox"/>	Supervisor Letter*	Required	Required	Required
<input type="checkbox"/>	Department (or Committee) Letter w/ vote	Required	Required	Required
<input type="checkbox"/>	Curriculum Vitae (CV)	Required	Required	Required
<input type="checkbox"/>	Self-Statement	Optional	Optional	Optional
<input type="checkbox"/>	Extramural Letters	N/A	Required	N/A
<input type="checkbox"/>	Job Description (if available)	Required	Required	Required
<input type="checkbox"/>	Letter of Expectations (if available)	Required	Required	Required
<input type="checkbox"/>	Professional Activity**	Required	Required	Required
<input type="checkbox"/>	Bib at Last Advance	Required	Required	Required
<input type="checkbox"/>	Difference List	Required	Required	Required; last 5 years
<input type="checkbox"/>	University & Public Service**	Required	Required	Required; last 5 years
<input type="checkbox"/>	Grant Activity	Required	Required	Required; last 5 years
<input type="checkbox"/>	Procedural Safeguard	Required	Required	Required
<input type="checkbox"/>	Other: _____	-	-	-

\*Process may vary depending on department (see Professional Researchers, Section VI in the NS/NR Call)

\*\* Not expected at the Assistant level

**FILE TRACKING**

Description	Date	Initials	Comments
File received by Chair/Supervisor			
File received by Department/Ad Hoc Committee			
File received in Dean's Office			
Final decision made by Dean			

**Additional Remarks** (if applicable): Attach a separate sheet as needed.

**Checklist for Preparing Academic Personnel Merit/Promotion Files for  
PROJECT (e.g., SCIENTIST) SERIES**

Name: \_\_\_\_\_ Department: \_\_\_\_\_

	DOCUMENT	MERIT	PROMOTION, ADV TO VI, ADV TO A/S	QUINQUENNIAL REVIEW
<input type="checkbox"/>	Supervisor Letter	Required	Required	Required
<input type="checkbox"/>	Department (or Committee) Letter with Vote	Required	Required	Required
<input type="checkbox"/>	Curriculum Vitae (CV)	Required	Required	Required
<input type="checkbox"/>	Self-Statement	Optional	Optional	Optional
<input type="checkbox"/>	Extramural Letters	N/A	Required	N/A
<input type="checkbox"/>	Job Description	Required	Required	Required
<input type="checkbox"/>	Letter of Expectations (if available)	Required	Required	Required
<input type="checkbox"/>	Professional Activity	Required	Required	Required; last 5 years
<input type="checkbox"/>	Bib at Last Advance	Required	Required	Required
<input type="checkbox"/>	Difference List	Required	Required	Required; last 5 years
<input type="checkbox"/>	University & Public Service*	Optional	Optional	Optional; last 5 years
<input type="checkbox"/>	Grant Activity	Required	Required	Required; last 5 years
<input type="checkbox"/>	Procedural Safeguard	Required	Required	Required
<input type="checkbox"/>	Other: _____	-	-	-

\* Not required, but encouraged

**FILE TRACKING**

Description	Date	Initials	Comments
File received by Chair/Supervisor			
File received by Department/Ad Hoc Committee			
File received in Dean's Office			
Final decision made by Dean			

**Additional Remarks** (if applicable): Attach a separate sheet as needed.

**Checklist for Preparing Academic Personnel Merit/Promotion Files for SPECIALIST SERIES**

Name: \_\_\_\_\_ Department: \_\_\_\_\_

	DOCUMENT	MERIT	PROMOTION, ADV TO VI, ADV TO A/S	QUINQUENNIAL REVIEW
<input type="checkbox"/>	Supervisor Letter	Required	Required	Required
<input type="checkbox"/>	Department (or Committee) Letter with Vote	Required	Required	Required
<input type="checkbox"/>	Curriculum Vitae (CV)	Required	Required	Required
<input type="checkbox"/>	Self-Statement	Optional	Optional	Optional
<input type="checkbox"/>	Extramural Letters	Optional	Optional	Optional
<input type="checkbox"/>	Job Description	Required	Required	Required
<input type="checkbox"/>	Letter of Expectations (if available)	Required	Required	Required
<input type="checkbox"/>	Professional Activity*	Required	Required	Required; last 5 years
<input type="checkbox"/>	Bib at Last Advance	Required	Required	Required
<input type="checkbox"/>	Difference List	Required	Required	Required; last 5 years
<input type="checkbox"/>	University & Public Service*	Required	Required	Required; last 5 years
<input type="checkbox"/>	Grant Activity	Required	Required	Required; last 5 years
<input type="checkbox"/>	Procedural Safeguard	Required	Required	Required
<input type="checkbox"/>	Other: _____	-	-	-

\*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

**FILE TRACKING**

Description	Date	Initials	Comments
File received by Chair/Supervisor			
File received by Department/Ad Hoc Committee			
File received in Dean's Office			
Final decision made by Dean			

**Additional Remarks** (if applicable): Attach a separate sheet as needed.

## Checklist for Preparing Academic Personnel Advancement Files for ACADEMIC COORDINATOR

Name: \_\_\_\_\_ Department: \_\_\_\_\_

	DOCUMENT	MERIT	PROMOTION	PERFORMANCE REVIEW
<input type="checkbox"/>	Supervisor Letter	Required	Required	Required
<input type="checkbox"/>	Department (or Committee) Letter with Vote	Required	Required	Required
<input type="checkbox"/>	Curriculum Vitae (CV)	Required	Required	Required
<input type="checkbox"/>	Self-Statement	Required	Required	Required
<input type="checkbox"/>	Letters of Evaluation / User Letters**	Optional	Optional	Optional
<input type="checkbox"/>	Job Description	N/A	Required (Old & New)	Required
<input type="checkbox"/>	Organizational Chart	N/A	Required (Old & New)	N/A
<input type="checkbox"/>	Explanation of Candidate's Scope of Responsibility in Program / Unit	Required	Required (Addressing change)	Required
<input type="checkbox"/>	Letter of Expectations (if available)	Required	Required (Old & New)	Required
<input type="checkbox"/>	Professional Activity*	Required	Required	Required
<input type="checkbox"/>	Bib at Last Advance*	Required	Required	Required
<input type="checkbox"/>	Difference List*	Required	Required	Required
<input type="checkbox"/>	University & Public Service	Required	Required	Required
<input type="checkbox"/>	Procedural Safeguard	Required	Required	Required
<input type="checkbox"/>	Other: _____	-	-	-

\*As appropriate

\*\* Mandatory for those responsible for a core facility or other user-based program

FILE TRACKING			
Description	Date	Initials	Comments
File received by Chair/Supervisor			
File received by Department/Ad Hoc Committee			
File received in Dean's Office			
Final decision made by Dean			

**Additional Remarks** (if applicable): Attach a separate sheet as needed.

**Checklist for Preparing Academic Personnel Merit/Promotion Files for  
ACADEMIC ADMINISTRATOR**

Name: \_\_\_\_\_ Department: \_\_\_\_\_

	DOCUMENT	MERIT	PROMOTION	PERFORMANCE REVIEW
<input type="checkbox"/>	Letters of Evaluation	Required	Required	Required
<input type="checkbox"/>	Department (or Committee) Letter with Vote	Required	Required	Required
<input type="checkbox"/>	Curriculum Vitae (CV)	Required	Required	Required
<input type="checkbox"/>	Self-Statement	Optional	Optional	Optional
<input type="checkbox"/>	Job Description	Required	Required (Old & New)	Required
<input type="checkbox"/>	Letter of Expectations (if available)	Required	Required	Required
<input type="checkbox"/>	Professional Activity*	Required	Required	Required
<input type="checkbox"/>	Bib at Last Advance*	Required	Required	Required
<input type="checkbox"/>	Difference List*	Required	Required	Required
<input type="checkbox"/>	University & Public Service	Required	Required	Required
<input type="checkbox"/>	Procedural Safeguard	Required	Required	Required
<input type="checkbox"/>	Other: _____	-	-	-

\*As appropriate

**FILE TRACKING**

Description	Date	Initials	Comments
File received by Chair/Supervisor			
File received by Department/Ad Hoc Committee			
File received in Dean's Office			
Final decision made by Dean			

**Additional Remarks** (if applicable): Attach a separate sheet as needed.

**Deferral Request Form – Non-Senate Series**

Name	
Department	
Current Title and Step	
Years at	Rank:                      Step:
Enclosures (if applicable)	

Candidate’s Comments: (This section expands when filled out digitally)

---

I acknowledge that I am eligible for a review action and due to the reasons stated above, I am requesting a deferral for this academic year.

---

Signature

Date:

Supervisor’s Comments: (optional)

---

I support this request.

---

Signature

Date:

Chair’s Comments: (optional)

---

I support this request.

---

Signature

Date:

## APPENDIX C – Glossary

Refer to:

### **The Call – Glossary of Academic Terms:**

[http://academicpersonnel.ucr.edu/the\\_call/](http://academicpersonnel.ucr.edu/the_call/)

### **APM 110: Academic Personnel Definitions**

<https://www.ucop.edu/academic-personnel-programs/files/apm/apm-110.pdf>

### **Special Note on the use of the term “Faculty” to identify an appointee:**

A member of the “faculty” of the University is defined in APM 110 as an academic appointee in a School, College, Division, Department, or Program of instruction and research who has independent responsibility for conducting approved regular University courses for campus credit. Members of the faculty are individuals appointed to the following titles or series only:

- Professorial series, including Acting titles in the Professor series (Non-Students)
- Visiting titles in the Professor series
- Professor in Residence series
- Adjunct Professor series
- Professor of Clinical (e.g., Medicine) series
- Health Sciences Clinical Professor series
- Clinical Professor of Dentistry (50 percent or more time) series
- Supervisor of Physical Education series
- Supervisor of Teacher Education
- Lecturer, Senior Lecturer (Unit 18)
- Lecturer with potential for SOE; Senior Lecturer with potential for SOE
- Lecturer with SOE; Senior Lecturer with SOE
- Lecturer in Summer Session
- Coordinator of Field Work
- Field Work Supervisor
- Field Work Consultant

An “Academic Appointee” is defined more broadly in APM 110 as one who is engaged primarily in one or more of the following: teaching, research, and public service, and whose duties are closely related to the University’s instructional and research functions. Included in this group are academic administrative officers, faculty, student appointees, medical residents, research appointees, Cooperative Extension and University Extension appointees, and librarians.

As such, the term “Faculty”, as it relates to the titles in the Non-Senate CALL shall only be used for the Adjunct Professor Series. All other titles should be referred to simply as “Academic appointees” or “Academic employees”.



## **APPENDIX D**

### **Indefinite Appointments**

#### **A. Definition**

1. For purposes of this policy, an “Indefinite Appointment” is an appointment with no specified ending date in a Non-Senate academic title covered under the Non-Senate Call.
2. The provisions of [APM 137 Non-Senate Academic Appointees/Term Appointment](#) do not apply to Indefinite Appointments.

#### **B. Criteria for Indefinite Appointments**

##### 1. University Requirements

- a. An Indefinite Appointment must have the following criteria met before approval:
  - i. Projected stability of funding
  - ii. Projected ongoing availability of work within scope of role
  - iii. Projected long-term programmatic (operational) need
- b. In addition to the criteria above, an additional justification may be for recruitment or retention reasons (e.g. if there is unlikely to be a good local pool of highly qualified applicants, an indefinite appointment may be needed to attract a national or international pool).

##### 2. Candidate Qualifications

- a. The following additional qualifications must be added to the Job Description (including Job Posting) and the candidate evaluated on during the hiring process:
  - i. Communication skills
  - ii. Conflict and problem solving skills
  - iii. Teamwork and collaboration skills
- b. These qualifications should be evaluated appropriately relative to the rank and step of the position. Hiring departments, under the general direction of the Dean, have discretion on how these skills are evaluated and their weight in the hiring decision.
- c. Upon hire, these qualifications must be maintained in evaluating ongoing performance. See [UCR PMCAD policy](#) for more information on the appropriate documentation and process for evaluating performance after hire, outside of a review.

### C. Procedure

1. All Indefinite Appointment must go through an open recruitment.
2. Upon initiation of the hiring request, the department or Dean's Office shall advise the hiring supervisor of the provisions of this appendix, including the non-applicability of [APM 137](#).
3. The designated supervisor of the indefinite appointee must review and acknowledge the [UCR Performance Management, Corrective Action, and Dismissal \(PMCAD\) policy for Non-Senate Academics](#), prior to the hire of the appointee, or if being assigned to supervise an indefinite appointee. This requirement may be waived if the supervisor has completed the PMCAD acknowledgement already within the last three (3) years.
4. When processing appointment requests, all reviewers of the indefinite appointment must carefully assess for the criteria in Section B above.
5. In accordance with existing delegations of authority, approving indefinite appointees for Non-Senate titles covered under this policy are Dean's Final.

## **APPENDIX E**

### **Represented and Non-Represented Titles and Considerations**

*For purposes of this section, the term “Academic Researcher” refers to titles in the Professional Researcher, Project Scientist, or Specialist series.*

#### **Compliance with the UAW Collective Bargaining Agreement**

As of November 2019, the United Auto Workers (UAW) 5810 union has ratified their [Collective Bargaining Agreement](#) (CBA) to represent Academic Researchers in the following title series: **Professional Researchers**, **Project Scientist**, and **Specialists**. The Coordinator of Public Programs series is also represented, but these titles are not currently in use at UC Riverside. The Academic Researchers Unit is sometimes referred to as the “RA Unit”, for the unit’s payroll code.

Nothing in the Non-Senate Call is intended to conflict with the CBA. If there is a discrepancy between the two, the CBA is controlling for represented Academic Researchers.

#### **Non-Represented Academic Researchers**

Supervisory, Visiting, and Without Salary designated Academic Researcher appointees are considered *non-represented*, and use separate title codes.

- **Visiting** appointees are governed under the protocols and restrictions within Appendix A (above) and [APM 230](#).
- **Supervisory** assignment must conform to the HEERA supervisor definitions of a supervisor and the appropriate documentation must be on file. For questions or more information on the designation of an Academic Researcher as a supervisor, departments and Dean’s Offices should reach out to the central Academic Personnel Office at [academicpersonnel@ucr.edu](mailto:academicpersonnel@ucr.edu). Should an appointee no longer qualify as a supervisor, they must be moved back into an in-unit title code.
- **Without-Salary (WOS)** appointment restrictions are covered under the appropriate title series in *Section IV* (above). However, generally, non-PI Academic Researchers should only be appointed in a WOS title when there is no expectation of funding. On a case-by-case basis, PI-designated represented Academic Researchers may be appointed a concurrent out-of-unit WOS title, with review and approval from APO.

#### **Professional Researcher Series – Additional Considerations**

Academic Year (“AY”) Professional Researcher appointees (now “Research-Ladder-Rank Scale-Academic Year” titles) are also *non-represented*.

Professional Researchers should be appointed in a fiscal year represented title code, unless they have a concurrent Academic Senate appointment or a primary (50% or greater appointment) Non-Senate appointment where research is an expected duty of the concurrent title.

## **Out of unit movement**

Pursuant to CBA [Article 17 – Out of Unit Movement](#), should a department identify an Academic Researchers who it determines needs to be moved to an out-of-unit title code (e.g. is assigned supervisory duties and meets the HEERA definition of a supervisor), a 30-day notice in advance to the UAW is required prior to moving the individual to the new out-of-unit title code. For more information or to request an Out-of-Unit Movement change, please reach out to UCR Labor Relations at [labor.relations@ucr.edu](mailto:labor.relations@ucr.edu).

## **Title Codes – Represented Academic Researchers**

<b>Title Code</b>	<b>Title/Job Name</b>	<b>Series</b>
001987	RES-FY-B/E/E	Professional Research Series
001988	ASSOC RES-FY-B/E/E	Professional Research Series
001989	ASST RES-FY-B/E/E	Professional Research Series
001997	RES-FY-B/E/E NEX	Professional Research Series
001998	ASSOC RES-FY-B/E/E NEX	Professional Research Series
001999	ASST RES-FY-B/E/E NEX	Professional Research Series
003170	RES-FY NEX	Professional Research Series
003180	ASSOC RES-FY NEX	Professional Research Series
003190	ASST RES-FY NEX	Professional Research Series
003200	RES-FY	Professional Research Series
003210	ASSOC RES-FY	Professional Research Series
003220	ASST RES-FY	Professional Research Series
003390	PROJ SCIENTIST-FY	Project Scientist Series
003391	PROJ SCIENTIST-FY-B/E/E	Project Scientist Series
003392	ASSOC PROJ SCIENTIST-FY	Project Scientist Series
003393	ASSOC PROJ SCIENTIST-FY-B/E/E	Project Scientist Series
003394	ASST PROJ SCIENTIST-FY	Project Scientist Series
003395	ASST PROJ SCIENTIST-FY-B/E/E	Project Scientist Series
003490	PROJ SCIENTIST-FY NEX	Project Scientist Series
003491	PROJ SCIENTIST-FY-B/E/E NEX	Project Scientist Series
003492	ASSOC PROJ SCIENTIST-FY NEX	Project Scientist Series
003493	ASSOC PROJ SCNTST-FY-B/E/E NEX	Project Scientist Series
003494	ASST PROJ SCIENTIST-FY NEX	Project Scientist Series
003495	ASST PROJ SCNTST-FY-B/E/E NEX	Project Scientist Series
003300	SPECIALIST	Specialist Series
003301	SPECIALIST NEX	Specialist Series
003310	ASSOC SPECIALIST	Specialist Series
003311	ASSOC SPECIALIST NEX	Specialist Series
003320	ASST SPECIALIST	Specialist Series
003321	ASST SPECIALIST NEX	Specialist Series
003329	JR SPECIALIST NEX	Specialist Series
003330	JR SPECIALIST	Specialist Series

**Title Codes – Non-Represented Academic Researchers**

*(Green is WOS, Yellow is AY/Ladder Rank, Blue is Non-Rep (Supervisor), Orange is Visiting)*

Title Code	Title/Job Name	Description
003202	RES (WOS)	PROFESSIONAL RESEARCH-WOS
003212	ASSOC RES (WOS)	PROFESSIONAL RESEARCH-WOS
003222	ASST RES (WOS)	PROFESSIONAL RESEARCH-WOS
001981	RES-LR SCL-AY-B/E/E	PROFESSIONAL RESEARCH-AY/LR
001982	RES-LR SCL-AY-1/9-B/E/E	PROFESSIONAL RESEARCH-AY/LR
001983	ASSOC RES-LR SCL-AY-B/E/E	PROFESSIONAL RESEARCH-AY/LR
001984	ASSOC RES-LR SCL-AY-1/9-B/E/E	PROFESSIONAL RESEARCH-AY/LR
001985	ASST RES-LR SCL-AY-B/E/E	PROFESSIONAL RESEARCH-AY/LR
001986	ASST RES-LR SCL-AY-1/9-B/E/E	PROFESSIONAL RESEARCH-AY/LR
003203	RES-LR SCL-AY	PROFESSIONAL RESEARCH-AY/LR
003205	RES-LR SCL-AY-1/9	PROFESSIONAL RESEARCH-AY/LR
003213	ASSOC RES-LR SCL-AY	PROFESSIONAL RESEARCH-AY/LR
003215	ASSOC RES-LR SCL-AY-1/9	PROFESSIONAL RESEARCH-AY/LR
003223	ASST RES-LR SCL-AY	PROFESSIONAL RESEARCH-AY/LR
003225	ASST RES-LR SCL-AY-1/9	PROFESSIONAL RESEARCH-AY/LR
003207	RES-FY-NON REP	PROFESSIONAL RESEARCH-NON-REP
003217	ASSOC RES-FY-NON REP	PROFESSIONAL RESEARCH-NON-REP
003227	ASST RES-FY-NON REP	PROFESSIONAL RESEARCH-NON-REP
003208	VIS RES	PROFESSIONAL RESEARCH-VISITING
003218	VIS ASSOC RES	PROFESSIONAL RESEARCH-VISITING
003228	VIS ASST RES	PROFESSIONAL RESEARCH-VISITING
003487	PROJ SCIENTIST (WOS)	PROJECT SERIES-WOS
003488	ASSOC PROJ SCIENTIST (WOS)	PROJECT SERIES-WOS
003489	ASST PROJ SCIENTIST (WOS)	PROJECT SERIES-WOS
003396	VIS PROJ SCIENTIST	PROJECT SERIES-VISITING
003496	VIS PROJ SCIENTIST NEX	PROJECT SERIES-VISITING
003497	VIS ASSOC PROJ SCIENTIST NEX	PROJECT SERIES-VISITING
003498	VIS ASST PROJ SCIENTIST NEX	PROJECT SERIES-VISITING
003397	VIS ASSOC PROJ SCIENTIST	PROJECT SERIES-VISITING
003398	VIS ASST PROJ SCIENTIST	PROJECT SERIES-VISITING
003403	PROJ SCIENTIST-FY NON REP	PROJECT SERIES-NON-REP
003404	PROJ SCIENTIST-FY-B/E/E NONREP	PROJECT SERIES-NON-REP
003405	ASSOC PROJ SCI-FY NON REP	PROJECT SERIES-NON-REP
003406	ASSOC PROJ SCI-FY-B/E/E NONREP	PROJECT SERIES-NON-REP
003407	ASST PROJ SCIENTIST-FY NON REP	PROJECT SERIES-NON-REP
003408	ASST PROJ SCI-FY-B/E/E NON REP	PROJECT SERIES-NON-REP
003302	SPECIALIST (WOS)	SPECIALIST-WOS
003312	ASSOC SPECIALIST (WOS)	SPECIALIST-WOS

003322	ASST SPECIALIST (WOS)	SPECIALIST-WOS
003328	JR SPECIALIST (WOS)	SPECIALIST-WOS
003303	SPECIALIST NON REP	SPECIALIST-NON-REP
003304	SPECIALIST NEX NON REP	SPECIALIST-NON-REP
003305	VIS SPECIALIST	SPECIALIST-VISITING
003306	VIS SPECIALIST NEX	SPECIALIST-VISITING
003313	ASSOC SPECIALIST NON REP	SPECIALIST-NON-REP
003314	ASSOC SPECIALIST NEX NON REP	SPECIALIST-NON-REP
003315	VIS ASSOC SPECIALIST	SPECIALIST-VISITING
003316	VIS ASSOC SPECIALIST NEX	SPECIALIST-VISITING
003323	ASST SPECIALIST NON REP	SPECIALIST-NON-REP
003324	ASST SPECIALIST NEX NON REP	SPECIALIST-NON-REP
003325	VIS ASST SPECIALIST	SPECIALIST-VISITING
003326	VIS ASST SPECIALIST NEX	SPECIALIST-VISITING
003333	JR SPECIALIST NON REP	SPECIALIST-NON-REP
003334	JR SPECIALIST NEX NON REP	SPECIALIST-NON-REP
003335	VIS JR SPECIALIST	SPECIALIST-VISITING
003336	VIS JR SPECIALIST NEX	SPECIALIST-VISITING

## **Addendum: Academic Personnel Review and COVID-19**

*This provision is added in response to the COVID-19 pandemic, and is reflective of the principles of the same addendum in the AY20-21 Senate Call. Should that addendum in The Call (for Senate Faculty) be modified or removed in future editions, the intention is for this section to also reflect those changes.*

This addendum to the **Non-Senate Call** provides guidance to address the impact the COVID-19 pandemic will have on the personnel review process of **academic employees covered under this policy**, with following set of guiding principles:

1. An overarching goal is to prevent **Non-Senate appointees** from becoming academic victims of the COVID-19 pandemic.
2. It would be better for our campus as a whole to overestimate the impact of the COVID-19 pandemic on faculty productivity than to underestimate it.
3. It is important to the campus climate that there be tools in the personnel review process that support faculty in staying on track with their career despite the COVID-19 pandemic.
4. It is recognized that there is a disparity in the impact of the COVID-19 pandemic between disciplines, and even between sub-disciplines.
5. It is recognized that the COVID-19 pandemic will likely have differential impact on different demographic groups, including female academic employees with younger children, and URM academic employees.
6. It is recognized that it is not only the campus closure that has caused major disruption in research programs. Other sources of disruption include, for example, travel restrictions, closures of museums and exhibition venues, conference and other event cancellations, family situations, children at home, homeschooling roles, compromised workspace, and even COVID-19 illness.

The following are specific guidelines to the personnel review process of **Non-Senate Academics for review periods that cover the COVID-19 impacted period (currently Spring 2020-Spring 2021)**:

1. Stop-the-clocks for one year will be granted upon application by **assistant rank titles with limitations of service**, for issues arising from the COVID-19 pandemic. **Appointees** will need to use the Stop the Clock Certification Form to make this request. Supporting documentation that is requested on the form does not need to be provided.
2. **As applicable to their title series, Non-Senate academics** have an option to defer their merit or promotion file. Deferral requests may be submitted on or before the published dates for merits or promotions. A deferral is good for one year. However, generally all **non-senate titles** must be reviewed at least every five years.
3. **For Faculty roles, such as Adjunct and Health Sciences Clinical Professors, teaching evaluations will not be required to be submitted for the COVID-19 impacted quarters (currently Spring 2020-Spring 2021). However,** it is recommended that student teaching evaluations continue to be included in the file to address the need (per APM-210) for an assessment of teaching based on student experience.
4. **For titles covered under APM 210, such as Adjunct and Health Sciences Clinical Professors,** it is recommended to be intentional about recognizing faculty achievements that promote equal opportunity and diversity. Per APM-210, “Contributions in all areas of faculty achievement that promote equal opportunity and diversity should be given due recognition in

the academic personnel process, and they should be evaluated and credited in the same way as other faculty achievements. These contributions to diversity and equal opportunity can take a variety of forms including efforts to advance equitable access to education, public service that addresses the needs of California's diverse population, or research in a scholar's area of expertise that highlights inequalities." Teaching, research, and service are the specific review categories for a file. However, contributions to diversity and equal opportunity that intersect with these review categories can be viewed as having additional value in that they reflect the commitment our campus has to rewarding scholarly activity in these areas.

5. Departments should include a separate statement as an addendum to the department letter, limited to one page, which describes the impact of the COVID-19 pandemic on their discipline, including increased specificity for sub-disciplines as necessary.
6. It is recommended that candidates explain any negative impact of the COVID-19 pandemic on their research, teaching, or service (as applicable) when preparing the self-statements and updating their file. For this purpose, candidates can either: a) use space in their self-statement, or b) include a separate statement, limited to one page and limited in scope to discussion of individual COVID-19 pandemic challenges. The candidate should offer comments on anomalies in the record that are due to the impact of COVID-19 such as the campus closure, research ramp-down and/or ramp-up activities, restricted travel, event cancellations, and impaired work time. Chairs/Supervisors, departmental reviews, Deans, and the VPAP will take these factors into consideration, as described below, when reviewing cases that cover this time period. In addition, when describing activities in teaching, research, and service (as applicable), candidates should offer comments on the positive efforts they have made to overcome the challenges of the COVID-19 pandemic.
7. It is recommended to use the flexibility when weighing achievements across the different evaluation areas. The COVID-19 pandemic will have created situations where appointees have demonstrated exemplary effort in some areas that compensate for their reduced opportunity to reach norms in other areas. The COVID-19 pandemic has caused the University to refocus its ongoing activities, and there will be cases where the work of the appointee departs markedly from established academic patterns.
8. When using the flexibility to review personnel files, it is recommended to:
  - a. Give due recognition to community engagements that demonstrate the impact of their research.
  - b. Encourage candidates to be as specific as possible when writing their contribution statements for collaborative publications. It will be helpful to file reviewers to understand the contributions in the context of them being conceptual contributions, methodological contributions, resource enabling contributions, project administration roles, and dissemination activities.
  - c. Give appropriate consideration to submitted work. Per APM-210, "Work in progress should be assessed whenever possible." Candidates should be encouraged, for example, to include scholarly work submitted to a peer-review processor comment on completed work that could not be exhibited due to closures of exhibition venues. References to these materials should be reviewed and commented on in the department letter. The department comments on these materials will be considered within the context of relevant auxiliary supporting materials by the later stages of the review process.
  - d. Offer greater reward for scholarly activities that might otherwise be regarded as secondary activities in normal circumstances. As just one illustrative example, in some disciplines a review paper might be considered a secondary activity, but this activity could be reviewed in the context of how the COVID-19 pandemic hampered other primary activities.