

# **ACADEMIC PERSONNEL REVIEW PROCEDURES**

**Non-Senate, Non-Represented Academics CALL  
2018-2019 AY**

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

**Issued: October 5, 2018**

**Revised: April 24, 2019**

# 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, nor governed by a Memorandum of Understanding (MOU) established by a representative bargaining unit. These titles, often called Non-Senate/Non-Represented Academics, are delegated to the departments and Dean's offices to manage. The Deans' Offices are the designated Office of Record and maintain all employment files for these titles.

While this policy strives to provide a comprehensive document for the Non-Senate/Non-Represented Academics, "The Senate 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 local procedures. 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/)

## Terminology

Throughout this policy, the term "Non-Senate" will be used as short-hand for "Non-Senate/Non-Represented."

A glossary of terms is included for reference. Additional terms may be found in the equivalent section under "[The Call](#)" as well as [APM 110 – "Academic Personnel Definitions"](#).

## 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.

Changes to the policy will be followed with prompt communication to all appropriate Academic Personnel Directors within the campus' Schools, Colleges, and Programs ("CSPs").

For more information, please contact the central Academic Personnel Office ("APO") at: [academicpersonnel@ucr.edu](mailto:academicpersonnel@ucr.edu).

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## I. Schedule for Academic Personnel Reviews

**A. Individual Dean’s Offices will establish and inform of all due dates.**

**B. 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. These files may be updated until April 30 of the seventh year.

### **Table of deadlines if no dates are set by the Dean’s Office:**

<b>Personnel Review Action</b>	<b>Date Due in Dean’s office</b>	<b>Cutoff Date</b>
<b>Advancement (Merit / Promotion)</b>	<a href="#">Date Established in Senate Call</a>	September 30 <sup>th</sup>
<b>Appraisal</b>	<a href="#">Date Established in Senate Call</a>	September 30 <sup>th</sup>
<b>Performance Review</b>	<a href="#">Date Established in Senate Call</a>	September 30 <sup>th</sup>
<b>Quinquennial Review</b>	<a href="#">Date Established in Senate Call</a>	September 30 <sup>th</sup>
<b>7<sup>th</sup> Year Promotion</b>	<a href="#">Date Established in Senate Call</a>	April 30 <sup>th</sup> (of 7 <sup>th</sup> year)

**C.** 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.

**D.** The Deans feel 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.

**E.** Requests for extension are outlined in Section II.F “Extension Requests” below.

**F.** Approved merit and promotion actions will be effective July 1.

## II. General Procedures

### A. Approval Authority

1. All 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 forward a copy of the announcement action to APO. The Dean's Office will remain the office of record for maintenance of personnel files for such actions

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

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. Department Chair / Supervisor

The Department Chair, or other supervisor if appropriate, 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. 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-Senates. It is recommended at least one member from the same series as the employee under review be an advisory member of the voting committee.

#### 3. Dean

The Dean reviews all recommendations and issues a final decision for all Non-Senate files.

The general tenants for equivalent and relevant procedures, as outlined in [The Call Sections II.5 - II.10 and III](#), should be used as needed to provide guidance on process execution.

**A personnel review shall precede any reappointment.** A reappointment recommendation should accompany either a merit file, a change in level file, or a 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	No Max	No Max
Assistant Professional Research	2	2	2	2	2	2	
Associate Professional Research	2	2	2	3	3		
Professional Research	3	3	3	3	No Max	No Max	No Max
Assistant Project Scientist	2	2	2	2	2	2	
Associate Project Scientist	2	2	2	3	3		
Project Scientist	3	3	3	3	No Max	No Max	No Max
Junior Specialist	1	1					
Assistant Specialist	2	2	2				
Associate Specialist	2	2	2	No Max			
Specialist	3	3	No Max	No Max	No Max		
Academic Coordinator*	No Max	No Max	No Max				
Academic Administrator*	No Max	No Max	No Max	No Max	No Max	No Max	No Max

\*Under exceptional circumstances, an indefinite appointment may be possible, if well-justified to APO (See Appendix D).

- 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 III for the specifics regarding each title’s appropriate appointment length of time, as well as any limitations of service.

#### **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. Acceleration**

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.

#### **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 III 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.

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

For appointments with end dates, no further notice of non-reappointment is necessary for appointments at less than 50% or for appointment of less than eight consecutive years in the same title or series.

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

### **J. 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 below (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.

### **K. 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.

Such a review consists of either the candidate for reappointment, or a representative of the unit with which the person is affiliated, providing a 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.



## **L. 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.

## **M. Grievances**

The Dean's Office should be contacted directly for allegations of violations of procedures. Provisions of [APM 140](#) and [local procedures](#) apply this policy.

## **N. Disciplinary Action**

Refer to [APM 150](#) and any APO-issued guidance on corrective action, discipline, and associated dismissal for all Non-Senate/Non-Represented titles.

## **O. Other Non-Senate Titles (Library and School of Medicine)**

1. 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)
2. For Non-Senate titles in the School of Medicine ("SOM"), such as the Health Sciences Clinical Professor Series, and including the Adjunct Professor Series residing in the School of Medicine, please refer to the School of Medicine Academic Personnel Review Resource page for relevant local procedures:  
[https://medschoolintranet.ucr.edu/academic\\_affairs/aprr.html](https://medschoolintranet.ucr.edu/academic_affairs/aprr.html)

All SOM titles must still conform to the processes outlined in Section I and Section II above.

3. For all other Non-Senate, Non-Represented titles that are not addressed in this policy, such as CE Specialists, see the applicable APM article and local Dean's Office-level policy.

## **P. 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.

### III. 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
Adjunct Professor Series	<a href="#">APM 280</a>
Professional Research Series	<a href="#">APM 310</a>
Project (e.g, Scientist) Series	<a href="#">APM 311</a>
Specialists Series	<a href="#">APM 330</a>
Academic Coordinator	<a href="#">APM 375</a>
Academic Administrator	<a href="#">APM 370</a>

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

For School of Medicine, please defer to the School of Medicine Academic Personnel Review Resource page for any relevant local procedures on all Non-Senate titles:

[https://medschoolintranet.ucr.edu/academic\\_affairs/aprr.html](https://medschoolintranet.ucr.edu/academic_affairs/aprr.html)

## **ADJUNCT PROFESSOR SERIES**

### **I. Definition**

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

Appointments may be paid or without salary.

### **II. Appointment Criteria**

A candidate for appointment or advancement in this series is judged by the same four criteria specified for the Professor series, except that evaluation of the candidate shall take into account the nature of the duties and responsibilities, and shall adjust accordingly the emphasis to be placed on each of the criteria. The four criteria are:

1. Teaching
2. Research
3. Professional competence and activity
4. University and public service

See [APM 210-1](#) for an explanation of these criteria.

### **III. Term of Appointment**

Appointment or reappointment at the Assistant rank may be for a maximum term of two years. 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.

Appointments or reappointments may be for up to two years at the Associate Adjunct Professor rank and for up to three years at the Adjunct Professor rank. For paid appointments a guarantee of funding is required for the duration of the appointment. Reappointments for funding purposes only, involving no academic review, may be requested by memo from the Chair or Director. A departmental vote is not mandatory, but may be required at the Dean's discretion.

The following policies apply to all without-salary Adjunct appointments

**IV. Restrictions and Review Process**

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.

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.

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.

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

The following policies apply to all salaried Adjunct appointments

**V. 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.

## VI. Compensation

- A. Initial appointments and reappointments in this series are conditional on programmatic need and the availability of funds, and each individual shall be notified to this effect at the time of appointment or reappointment.
- B. Individuals appointed to this series are compensated from the salary scales established for the Professorial ranks.
- C. At least 50% of any appointment must be funded from other than 19900 sources.
- D. Appointees to this series who hold academic year (9/12 basis) appointments are eligible to receive additional compensation for summer research efforts at the 1/9 rate.
- E. Off-scale salaries are allowed within the same limits and policies as ladder faculty off-scale salaries. ([The Call](#) – Section II.B.10)

## VII. Restrictions

- A. Individuals who are primarily researchers and who teach regularly at least one course a year should be appointed in the Adjunct series for their whole appointment. Professional Researchers who teach less than one course a year should be given a Lecturer appointment in conjunction with the Researcher appointment. For purposes of appointment “one course” is defined as a regularly scheduled class that meets at least three hours per week.

For appointments in which teaching is the main activity, it must be clearly demonstrated that a teaching title such as lecturer is not appropriate, before appointment to this series can be approved.

- B. An appointee to a title in this series shall have the title revoked whenever the appointee's participation in teaching ceases to conform to the criteria set forth in Section VII.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.
- 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](#).

## VIII. Appointment and Advancement

- A. Paid appointments at more than 50% time that exceed one year will be considered the equivalent of ladder rank faculty appointments. Procedures and policies concerning appointment and advancement within the ladder ranks will apply to these positions. The checklists for appointment ([Academic Hiring Toolkit](#)) and for advancement ([The Call](#)) should be used when preparing cases. For individuals appointed at 50% or less, the same checklists are to be used to prepare the case.
- B. 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 review while promotions, advancement to Adjunct Professor VI, and advancement to Adjunct Professor Above Scale are based on the career academic record. Any advancement requested prior to the normative time at step will be considered an acceleration and must be justified as such.
- C. All merits and promotions will be effective July 1. Completed cases must be submitted to 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.

Deferral will be automatic if an Adjunct Professor does not submit material by the departmental due date and no case is forwarded by the department, with the exception of formal appraisals and mandatory reviews.

- D. A formal appraisal of an Assistant Adjunct Professor will take place during the fifth year of service. The procedures outlined in [The Call](#) will be used.

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

- E. 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 ([The Call](#)).
- F. 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 RESEARCH 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. See [APM 310](#) for System Wide policy on these titles. For use of the Visiting prefix with this series, see Appendix A.

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

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

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

### **III. Appointment and Advancement Criteria**

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

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

An individual who currently holds a Research series appointment at UCR and participates in research activities in a department or program in which he/she does not hold a salaried appointment may receive affiliated status in the host department or program.

- A. The host department or program will be required to provide a statement of activities to be carried out under the affiliated status. The affiliated status may be for a specific time period or may be indefinite, as long as the primary paid appointment is active.
- B. The chair/director of both the home and host department must endorse the request.

#### **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. Appointments or reappointments may be for up to two years at a time at the Assistant Researcher and Associate Researcher level and for up to three years at a time at the Researcher level if guaranteed funding is available.

#### **V. Compensation**

- A. Individuals appointed to this series are compensated on the salary scales established for the Professional Research series on an academic or fiscal year (11 months) basis. The Economics/Engineering Professional Research salary scale will be used when either:
  - 1. The unit is an Engineering unit (departments and research units reporting to the Dean of Engineering) or the Department of Economicsor:
  - 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.

In most cases, a Research series appointment will be a salaried position. Without salary status may be appropriate for short periods of time, for example while awaiting funding.



- B. Salaries are subject to range adjustment.
- C. Each source which provides compensation for service in this series must permit research.
- D. Off-scale salaries are allowed within the same limits and policies as ladder faculty off-scale salaries. ([The Call](#) – Section II.B.10)

## **VI. Requests for Appointment, Reappointment, and Advancement**

### Appointment

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.

### Reappointment

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.

### Advancement: Merit and Promotion

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). All advancement actions are based on the individual's achievements. Normal advancement occurs after 2 years at step at the Assistant or Associate level and after 3 years at the Full Research level steps I-VIII, and after 4 years at step IX or within Above Scale. Any advancement requested prior to that time will be considered an acceleration and must be justified as such. Merit increases are based on the academic record since the time of last review while promotions, advancement to Researcher VI and advancement to Researcher Above Scale are based on the career academic record.

All merits and promotions will be effective July 1. Completed cases must be submitted to the Dean's Office, as established in the Schedule for Academic Personnel Reviews (Section I), preceding the effective date. Cases received after the due date will be returned to the Department and will not be processed. A missed deadline may not be used as justification for retroactivity in a future review.

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

Appointees in the Research series must undergo a performance review at least once every five years (quinquennial review; 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.

### **Supervisor Letters of Recommendation**

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

### **External Evaluation**

Extramural letters will be required in cases of: appointment as Associate Researcher, appointment as Researcher, promotion to Associate Researcher, promotion to Researcher, advancement to Researcher, Step VI and advancement to Researcher Above Scale. Deans may establish additional requirements for letters in cases of appointment to the Assistant rank.

A minimum of 4 extramural letters must be included for proposed promotion to Associate level, a minimum of 6 for the Full Researcher and Researcher, Step VI. At least half of the letters submitted with the case should come from references chosen by the Department or Program independent of the candidate. Letters from faculty or researchers at other UC campuses are essential for appointment/advancement to Researcher, Step VI, preferably from individuals already at the senior ranks. Solicitations of extramural evaluations should not merely ask for opinions regarding the suitability of the candidate for promotion, but should invite analytical evaluations of the candidate's research with respect to quality and significance. Reviewing agencies reserve the right to request letters be solicited in any advancement case if it is determined that more information is necessary to support the proposed action.

In all cases of solicitation of outside letters, the sample letter for solicitation of extramural letters (Appendix B) is to be used.

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

\_\_\_\_\_ is being considered for (an appointment/promotion to) Associate Researcher in the (department/unit). Appointment (or promotion) to Associate Researcher within the UC system requires a research record equivalent to that of an

Associate Professor. Superior intellectual attainment in research is an indispensable qualification for appointment or promotion to Associate Researcher. [Sample wording for evaluation request: e.g., I would greatly appreciate your evaluation of \_\_\_\_\_'s work.]

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

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

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

\_\_\_\_\_ is being considered for advancement to Researcher [specify step] in the (dept/unit). In the UC system there are 9 steps within the rank of Researcher. The normal period of service is three years in each of the first five steps. Service at Research, Step V, may be of indefinite duration. Advancement to Step VI will be granted on evidence of highly distinguished scholarship, highly meritorious service, and evidence of excellence in research, and in addition, great distinction recognized nationally or internationally, in research. [Sample wording for evaluation request: e.g., I would greatly appreciate your evaluation of \_\_\_\_\_'s work]

For appointment as, or merit advancement to Researcher Above Scale, the following wording should be inserted as appropriate:

\_\_\_\_\_ is being considered for (an appointment as/ advancement to) Researcher Above Scale in the Department of \_\_\_\_\_. In the University of California, there are nine steps within the rank of Researcher. Steps VI, VII, VIII, and IX are reserved for highly distinguished scholars. (Appointment/advancement) to an Above Scale salary is reserved for scholars of the highest distinction, whose work has been internationally recognized and acclaimed. [Sample wording for evaluation request: e.g., I would greatly appreciate your evaluation of \_\_\_'s work.]

## **PROJECT SCIENTIST SERIES**

### **I. Definition**

The titles in this series are given only to those who make significant and creative contributions to a research or creative project. Appointees may be ongoing members of a research team, or may contribute high-level skills to a specific project for a limited time. Demonstrated capacity for fully independent research or research leadership as required in the Researcher series are not required in this series. However, a broad range of knowledge and competency and a higher level of independence than appointees in the Specialist series are expected. See [APM 311](#) for System Wide policy on Project Scientists. See 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 at Steps V through VIII and 4 years at Step IX and within Above Scale. Eligibility for normal advancement occurs after the normal time of service at each step. If not advanced in step at that time, the candidate will continue to be eligible each year until advancement in step occurs.

### **III. Appointment and Advancement Criteria**

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

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

University and public service are encouraged but not required.

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

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

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

#### **V. Compensation**

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

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

or:

- 2. The unit is multi or interdisciplinary and includes both engineering or economics and other disciplinary activity. In this case two additional criteria must be met:

- a) The individual's background and training is in engineering or economics, and

- b) The project with which the individual is associated is an engineering or economics project.

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

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

- B. Salaries are subject to range adjustment.
- C. Each source which provides compensation for service in this series must permit research.
- D. Off-scale salaries are allowed within the same limits and policies as ladder faculty off-scale salaries. ([The Call](#) – Section II.B.10)

## **VI. Requests for Appointment and Advancement**

### Appointment

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.

### Reappointment

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.

### Advancement: Merit and Promotion

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). All advancement actions are based on the individual's achievements. Normal advancement occurs after 2 years at step at the Assistant or Associate level and after 3 years at the Full Project Scientist level steps I-VIII and after 4 years at step IX or within Above Scale. Any advancement requested prior to that time will be considered an acceleration and must be justified as such. Merit increases are based on the academic record since the time of last review while promotions are based on the career academic record.

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

Appointees in the Project Scientist series must undergo a performance review at least once every five years (quinquennial review), 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.

### **Supervisor Letters of Recommendation**

The Supervisor's letter of recommendation for advancement should include an evaluation of the candidate's record in all review areas (see Appointment and Advancement Criteria, above). Each unit should establish set procedures for evaluation of Project Scientist appointments and advancements and development of the letter of recommendation.

## External Evaluation

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

When letters are solicited either externally or internally, the sample letter for solicitation of extramural evaluators 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.]

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 teaching responsibilities. See [APM 330](#) and [UCOP Specialist Hiring Toolkit](#) for System Wide policy on Specialists.

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

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

### **III. Appointment and Advancement Criteria**

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

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

The following qualifications are general guidelines for each rank:

**Junior Specialist:** Appointees should possess a baccalaureate degree (or equivalent degree) or have equivalent research experience. Appointees at this level enable research as part of a team. Appointment into this rank needs to be submitted with justification to APO for review and approval when an appointee has recently held a Lab Assistant position (i.e., moving from a represented title to a non-represented title).

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

**Associate Specialist:** Appointees should possess a master's degree (or equivalent degree) or have five to ten years of experience demonstrating expertise in the relevant specialization. Appointees normally provide considerable independent input into the planning and execution of the research,



have a record of academic accomplishments, including contributions to published research in the field, and a demonstrated record of University and/or public service.

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

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

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

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

- A. Appointments may be made for up to one year at a time at the Junior Specialist Rank, for up to two years at a time at the Assistant and Associate Specialist rank, and for up to three years at a time at the full Specialist rank.
- B. There are no limits on service at any level in this series, except Junior Specialists, which have a two-year limit of service.
- C. Junior Specialists who are domestic or foreign non-UCR **graduate** students coming to UCR to perform research under the supervision of faculty, are exempt from the two-year limit and instead have a five-year limit of service. For individuals who are non-students and without a Ph.D., temporarily doing research in a lab or in the field, this exception does not apply and the two-year limit remains for appointments that meet this criteria.

#### **V. Compensation**

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

### Appointment

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.

### Reappointment

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.

### Advancement: Merit and Promotion

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). All advancement actions are based on the individual's achievements. Normal advancement occurs after one year at step at the Junior-level (assuming not a non-UCR graduate student – see section IV.C above), two years at step at the Assistant and Associate level and after three years at the Full Specialist level, steps I-IX, and after four years at step IX and within Above Scale. Any advancement requested prior to that time will be considered an acceleration and must be justified as such. Merits are based on the academic record since the time of last review while promotions are based on the career academic record. Advancement to Above Scale status involves an overall career review and requires work of sustained and continued excellence with national or international recognition, outstanding professional achievement, and highly meritorious service.

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, preceding the effective date. Cases received after the due date will be returned to the Department and will not be processed. A missed deadline may not be used as justification for retroactivity in a future review. Deferral will be automatic if a Specialist does not submit material by the departmental due date and no case is forwarded by the department.

Appointees in the Specialist series must undergo a performance review at least once every five years (quinquennial review), 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

### **Supervisor Letters of Recommendation**

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. In addition to the foregoing, recommendations for promotion must provide documentation of the scientific, technical, or otherwise creative contributions of the candidate (as contrasted to contributions to a group effort). Each unit should establish set procedures for evaluation of Specialist series appointments and advancements and development of the letter of recommendation.

### **External Evaluation**

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.

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.]

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. See [APM 375](#) for System Wide policy on Academic Coordinators.

### II. Rank and Step

This series contains ranks I - III. Ranks I and II include 15 steps, Rank III includes 9 steps.

### III. Appointment Criteria

Appointment 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.

- A. An appointee must have a professional background of academic training and/or experience for appointment to this series. A Master's or equivalent or other appropriate degree(s) is usually required. Certain positions may require a doctorate or equivalent experience.
- B. The appropriate rank will be determined by taking into consideration such factors as program scope and complexity. [APM 375, Appendix A](#), in addition to the optional [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 appointee will likely receive general supervision from the department chair, a faculty member or other academic or professional staff.

2. Academic Coordinator II:  
Appointees will have responsibility for programs of moderate complexity. The program will normally have a moderately-sized staff or a scope that encompasses several units or activities. The appointee is expected to manage the program with a great amount of independence.
3. Academic Coordinator III:  
Appointees will have primary responsibility for the administration, management, and coordination of large programs with broad and substantial complexity. Responsibilities will be fulfilled independently (for example, unit heads who report directly to a dean or vice chancellor). Appointments to this level will require demonstrated superior professional ability, outstanding accomplishment in job-related activities, and the assumption of greater responsibility than typically delegated to Academic Coordinators at other levels.

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

- A. Appointments in this series can be made for any length of time. Appointments may be made, with justification, for an indefinite period of time (i.e. with no specified end date), subject to approval by the Academic Personnel Office (APO). (See Appendix D)

#### **V. Compensation**

- A. Individuals appointed to this series may be compensated on an academic-year or fiscal-year basis, dependent on the nature of the position.
- B. Salaries are subject to range adjustment.

#### **VI. Advancement**

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).

- A. Merit reviews will normally occur once every 2 years at Rank I and II and once every 3 years at Rank III. A performance review must be conducted at least once every two years at Rank I and II and at least once every three years at Rank III. If advancement is not justified, a recommendation of "no change" may be made. Accelerated advancement may be recommended in cases of demonstrated exceptional merit. An Academic Coordinator who has reached the top step within rank will continue to be subject to review every 2 or 3 years depending on rank. Advancement at the top step within rank 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. All merits and promotions will be effective July 1. Completed cases must be submitted to the appropriate control point by the established date in the Schedule for Academic Personnel Reviews.
- C. Advancement from one step to the next is based on merit. Promotion to a higher rank will require significant change in the scope and complexity of the program administered.
- D. A request for merit 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

A request for promotion must also address the change in scope and complexity of the program administered. An updated job description must be included with each request for merit, promotion or reappointment.

At the Dean's discretion, User Letters may also be required.

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

### II. Rank and Step

This series contains ranks I – VII, each with 15 salary steps.

### III. Appointment Criteria

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.

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 his/her field, or the highest degree which is commonly expected for appointment in the activity.

### IV. Term of appointment

- A. Appointments in this series can be made for any length of time. Appointments may be made, with justification, for an indefinite period of time (i.e. with no specified end date), subject to approval by the Academic Personnel Office (APO). (See Appendix D)
- B. No further notice of non-reappointment is necessary for appointments at less than 50% or for appointment of less than eight consecutive years in the same title or series, per [APM 137](#).
- C. Notice of non-reappointment must be given if the employee has served at 50% or more for eight or more consecutive years in the same title or series ([APM 137-30](#)). Written Notice of Intent not to reappoint must be given at least 60 days prior

to the appointment's specified end date. The notice must state (1) the intended non-reappointment and the proposed effective date; (2) the basis for non-reappointment; and (3) the employees right to respond within 14 days and the name of the person to whom they should respond. Within 30 days of the Notice of Intent, and after review of any response, the University will issue a written Notice of Action to the employee. Pay in lieu of notice may be given.

**V. Compensation**

- A. Salaries are subject to range adjustment.

**VI. Advancement**

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).

- A. Merit reviews will normally occur once every 2 years.
- B. All merits and promotions will be effective July 1. Completed cases must be submitted to the appropriate control point by the established date in the Schedule for Academic Personnel Reviews.
- C. 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.
- D. Merit increases and promotions are based on administrative experience, professional competence and activity, and University and public service.
- E. 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.
- F. A performance review, in the absence of a merit or promotion review, shall take place at least every four years.



**APPENDIX A  
VISITING (RESEARCHER AND PROJECT SCIENTIST)  
APPOINTMENTS**

**I. Definition**

The Visiting prefix is used to designate one who:

1. Is appointed temporarily to perform the duties of the title to which the prefix is attached; and
2. Either has held, is on leave from, or is retired from an academic or research position at another educational institution; or whose research, creative activities or professional achievement makes a visiting appointment appropriate.

See [APM 230](#) for System Wide policy on Visiting titles.

**II. Appointment Criteria**

The Visiting prefix may be used with titles in the Professional Research series or the Project Scientist series. When the title with the Visiting prefix is assigned to an individual on leave or retired from another institution, the title will usually be the same as the individual's title at the home educational institution.

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

**III. Term of Appointment**

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

If the appointee is later considered for transfer to a corresponding appointment in the regular series, the proposal for such transfer shall be treated as a new appointment subject to full customary review.

**IV. Compensation**

Appointments will normally be paid, but may be made on a without salary basis in limited circumstances. For paid appointments the salary for a visiting position is negotiated. While the salary does not have to be on-scale on the corresponding regular series scale, the salary may not be below \$100 more annually than the minimum rate

for Postdoctoral Scholars. Because these salaries are negotiated on an individual basis, they are not subject to range adjustments. For travel expense reimbursement, see APM 230-20h.

Without salary appointments may be appropriate when an individual is visiting UCR but is being funded through either their home institution or some other external agency.

**V. Appointment process**

Requests for appointment in the Visiting Researcher series or Visiting Project Scientist series shall be managed by the Dean's Office.

**VI. Restrictions**

Neither tenure nor security of employment is acquired, although eligible service as a Visiting Assistant Researcher will count towards the University's eight-year limit ([APM 133](#)).

**APPENDIX B  
DOCUMENTS**

**SAMPLE LETTER FOR SOLICITATION OF EXTRAMURAL EVALUATION**

Current Date

Name  
Department  
University

Dear Dr. \_\_\_\_\_,

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

**[INSERT APPROPRIATE PARAGRAPH FROM SAMPLES 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"/>	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, Signed (Supervisor and Employee)	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, Signed (Supervisor and Employee)	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 Merit/Promotion 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 (Signed by Supervisor and Employee)	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"/>	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

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"/>	Signed Job Description	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

### 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/Non-Represented 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 (Academic Coordinators and Academic Administrators)**

Academic Coordinator series and Academic Administrator series appointments with no defined duration (“indefinite appointments”) require justification to be submitted to the Academic Personnel Office (“APO”) for review and approval.

### **Requirements for Submission**

No defined format or forms are needed, but the following items must be included in the written request to APO ([academicpersonnel@ucr.edu](mailto:academicpersonnel@ucr.edu)):

1. Justification

The reason for needing an indefinite appointment for the role defined under the title series. Justification may be in part, but not limited to, 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. Performance Management Plan

The hiring college, school, or program (CSP) must submit a defined Job Description and a written Performance Management Plan.

The Performance Management Plan includes the following elements:

- Letter of Expectations – A written list of expectations of performance level and professional behavior that will be given to the appointee on their first day.
- A commitment to hold a documented informal performance review of the appointee for their first 90, 180, and 365 days in the position, at minimum.
- A commitment to review with and document identified performance (both positive and negative) of the appointee on a regular and reasonable basis by the identified supervisor.
- Scheduling a meeting or call to review APM 150, and any other relevant local procedures, by a representative from APO or designee with the identified supervisor, to be held no later than 30 days after the appointee’s first day. This may be waived if the supervisor has attended such meeting / call in any prior instance, or at the discretion of APO.

There must be a prompt revision and resubmission of the Performance Management Plan at any time there is a change in supervisor over the appointee.

There must be a prompt revision to the Job Description if major elements of the appointee’s previously expected duties are changed. No resubmission to APO is required.

The Academic Personnel Director or designee in the College, School, or Program (CSP) is responsible for the compliance of this procedure.