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About This Manual

This manual was created to document all the procedures for the most common non-senate Academic titles that are used in the College of Engineering. You will learn the appointment process for each title and receive detailed information on all the things that are needed to get your case approved by the Associate Dean for Research and/or the Academic Personnel Office.

In each section of this manual, the forms needed for each title are included. You can open a fillable PDF or Word document for each form in the manual by clicking on it. You can also find all the forms on the ERSO website under the HR tab: www.erso.berkeley.edu

You may also notice some phrases that are highlighted within the manual. By holding the control key and clicking your mouse at the same time, these phrases will open up additional information on the highlighted subject for you.

This manual will cover the following titles:

- Visiting Student Researchers
- Visiting Scholars
- Postdoctoral Scholars
- Specialist Series
- Project Series
- Research Series
- Visiting Researchers
- Faculty Research Appointments
- Research Recall

This manual will also cover the following processes:

- Visiting Scholar Payment Process
- Exceptional PI Status
- Non-Senate Search Case
# Academic Research Titles and Codes

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<th>Postdoctoral Scholar</th>
<th>Project Scientist</th>
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<tbody>
<tr>
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<td>Assistant Project Scientist</td>
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<tr>
<td>Postdoctoral Scholar – Stipend</td>
<td>Associate Project Scientist</td>
</tr>
<tr>
<td>Postdoctoral Scholar – Paid Direct</td>
<td>Project Scientist</td>
</tr>
<tr>
<td>Visiting Student Researcher</td>
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<td>Visiting Scholar</td>
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<th>Faculty Research</th>
</tr>
</thead>
<tbody>
<tr>
<td>Junior Specialist</td>
<td>Assistant Research Engineer</td>
</tr>
<tr>
<td>Assistant Specialist</td>
<td>Associate Research Engineer</td>
</tr>
<tr>
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<td>Specialist</td>
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<table>
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<td>Research Recall</td>
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<td>Associate Research Engineer</td>
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<table>
<thead>
<tr>
<th>Visiting Research Titles</th>
<th>Summer Compensation (ACR)</th>
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<tbody>
<tr>
<td>Visiting Assistant Research Engr</td>
<td>Assistant Research Engr</td>
</tr>
<tr>
<td>Visiting Associate Research Engr</td>
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<td>Visiting Research Engr</td>
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<td></td>
<td>1984</td>
</tr>
<tr>
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</tr>
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Visiting Student Researchers

A Visiting Student researcher is a student (can’t be a UC student) whose proposed visit is to conduct research for the purpose of meeting Master or Doctoral degree requirements from another university and to conduct research that is of mutual interest to and endorsed by an academic department, ORU, or other Berkeley campus unit. Undergrad students can also come as Visiting Student Researchers but they must provide a statement confirming they are in their 3rd or 4th year of study. The appointment period must be at least one month in duration or should not exceed one year. A second year can be approved by exception. The Visiting Student Researcher title is one that is overseen by the VSPA Office.

Visiting Student Researchers must provide proof of sufficient funding to support the duration of their stay. The minimum monthly compensation for a Visiting Student Researcher is $1600 per month for the student alone with an additional $500 per month for a spouse and $200 per month per child.
<table>
<thead>
<tr>
<th>Step</th>
<th>Owner</th>
<th>Process</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Host Faculty</td>
<td>• Decides they would like to host a student and notifies departmental HR Coordinator</td>
</tr>
<tr>
<td>2</td>
<td>HR Coordinator</td>
<td>• Gathers the necessary documents from the scholar** and provides other required forms:</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Gateway application</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- CV</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Proof of funds sufficient for the duration of stay (minimum compensation established by BIO)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Proof of registration from home institution***</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Visiting Student Researcher Appointment Form or Memo</td>
</tr>
<tr>
<td>3</td>
<td>HR Coordinator</td>
<td>• Prepares the application in Gateway</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Submits the Documents to ERSO Academic HR Assistant (193 M Cory Hall)</td>
</tr>
<tr>
<td>4</td>
<td>Academic HR Assistant</td>
<td>• Ensures all the necessary documents were submitted and routes them to ERSO Academic HR Analyst</td>
</tr>
<tr>
<td>5</td>
<td>ERSO Academic HR Analyst</td>
<td>• Gives final review of case and approves it</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• The appointment is also approved in Gateway</td>
</tr>
</tbody>
</table>
Visiting Student Researcher Appointment Request Form

(Click on the form below to open the fillable PDF)

COE VISITING STUDENT RESEARCHER REQUEST FORM

Visiting Student Researcher Definition

Name: ___________________________ Department: ___________________________
Start Date: ______________________ End Date: ___________________________

Required Documentation

☐ Updated CV ☐ Proof of Enrollment

- Proof of funds sufficient to support the duration of stay (statement from employer, government agency or current bank statement if supported on personal funds).
- Support must meet the minimum compensation established by BIO: ($1600 per month for scholar, plus $500 for spouse and $200 per month per child)

Gateway Application:

☐ Scholars: https://vsps-gateway.berkeley.edu/app_form
☐ Preparers: https://vsps-gateway.berkeley.edu

Describe the nature of the research and the visitor’s role and other details regarding the agreed upon collaboration:

Departmental Preparer: ___________________________

Host Faculty Name: ___________________________ Signature: ___________________________ Date: ________________

Department Chair: ___________________________ Signature: ___________________________ Date: ________________

Associate Dean King Liu Approval: ___________________________ Date: ________________
Visiting Scholars

Visiting Scholars are individuals who possess a Ph.D. or foreign equivalent. Ph.D. equivalence can be established through degrees earned at foreign institutions, or through personal or professional experience that provides a basis for pursuing the type of research and writing expected of someone holding a Ph.D. degree. A Visiting Scholar’s primary purpose on the Berkeley campus is to conduct independent research. The length of stay for a Visiting Scholar is at least one month and, normally not more than two years. Appointments are typically requested one year at a time. The Visiting Scholar title is one that is overseen by the VSPA Office.

Visiting Scholars must provide proof of sufficient funding to support the duration of their stay. The minimum monthly compensation for a Visiting Scholar is $1600 per month for the scholar alone with an additional $500 per month for a spouse and $200 per month per child.

Although Visiting Scholar appointments are not compensated, units may provide a stipend of up to $10,000 per year (see page 10 in manual for more information). A stipend for a Visiting Scholar can be used to cover living expenses, travel costs and incidental research expenses but cannot be paid as a form of salary compensation.
# Visiting Scholar Appointment Process

<table>
<thead>
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<th>Process</th>
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</thead>
<tbody>
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<td>- CV</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Proof of funds sufficient for the duration of stay (minimum compensation established by BIO)</td>
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<tr>
<td></td>
<td></td>
<td>- Visiting Scholar Appointment Form or Memo *</td>
</tr>
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<td>3</td>
<td>HR Coordinator</td>
<td>• Prepares the application in Gateway</td>
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<td>• The appointment is also approved in Gateway</td>
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</tbody>
</table>
Visiting Scholar Appointment Request Form

(Click on the form below to open the fillable PDF)

Date: 

COE VISITING SCHOLAR REQUEST FORM

Visiting Scholars are individuals who possess a Ph.D. (or foreign equivalent) and whose primary purpose for residence on the Berkeley campus is to conduct independent research. The length of stay for a visiting scholar is at least one month and, normally, not more than two years (typically appointments are requested one year at a time). * Equivalence can be established through degrees earned at foreign universities, or through personal or professional experience that provides a basis for pursuing the type of research and writing expected of someone holding the Ph.D. degree.

Visiting Scholar positions are not compensated. However, units may provide a stipend of up to $10,000 per year. Such stipends can be used to cover things such as living expenses, travel costs, and incidental research expenses, but not as a form of salary compensation. Please see Visiting Scholar Payment Form and instructions for more information.

Name: ___________________________  Department: ___________________________

Start Date: ________________________  End Date: ___________________________

Required Documentation

☑ Updated CV
☐ Proof of funds sufficient to support the duration of stay (statement from employer, government agency or current bank statement if supported on personal funds).
Support must meet the minimum compensation established by BIO: ($1600 per month for scholar, plus $500 for spouse and $200 per month per child)

Gateway Application:

☑ Scholars: https://vspa-gateway.berkeley.edu/app_form
Preparers: https://vspa-gateway.berkeley.edu

Describe the nature of the research and the visitor’s role and other details regarding the agreed upon collaboration:


Departmental Preparer: ___________________________

Host Faculty Name: ___________________________ Signature: ___________________________ Date: ___________________________

Department Chair: ___________________________ Signature: ___________________________ Date: ___________________________

Associate Dean King Liu Approval: ___________________________ Date: ___________________________
Visiting Scholar Payment Form
Information

The Visiting Scholar Payment Form is a form that is used to pay living expenses, travel expenses or incidental research expenses. The most important thing to note is that the form can’t be used to pay a salary. Since Visiting Scholars are not classified as employees, there are no performance deliverables required.

Although the form is titled, “The Visiting Scholar Payment Form”, it can be used to pay a stipend to both Visiting Scholars and Visiting Student Researchers.

The form can pay a maximum of $10,000 per year. The calculation of one year coincides with the individual’s appointment dates.
## Visiting Scholar Payment Process

<table>
<thead>
<tr>
<th>Step</th>
<th>Owner</th>
<th>Process</th>
</tr>
</thead>
</table>
| 1    | *PI/Authorized Requestor | - Completes Visiting Scholar Payment Form (VSPF)  
- Verifies Funding  
- Acquires necessary signature for authorization and determines that payment is not for work as an employee and there are no performance deliverables associated with the payment. |
| 2    | VS/VSR | - Completes Vendor Request Form (DO NOT COMPLETE STAFF PERSON CONTACT INFORMATION SECTION – this will be completed by HR) and returns to Authorized Requestor  
- **MUST INCLUDE VS/VSR EMAIL ADDRESS**  
- If no SS# or ITIN#, VS/VSR must apply at local SSA Office  
(No payment can be processed without SS or ITIN) |
| 3    | PI/Authorized Requestor | - Sends ORIGINAL VSPF (with ink signature) and Vendor Request Form to HR Administrator |
| 4    | HR Administrator | - Reviews VSPF and Faxes Vendor Request form to Central Vendoring: 510-642-8604 for Vendor # assignment  
- Enters VS/VSR information into GLACIER (if foreign)** |
| 5    | VS/VSR | - Completes GLACIER record and sends required documents to designated address (171 University Hall) on summary page of GLACIER record. |
| 6    | Central Vendoring | - Notifies HR Administrator via email when vendor # has been assigned |
| 7    | HR Administrator | - Enters Vendor # on VSPF and sends ORIGINAL VSPF (inked signature) to Central Payroll (171 U-Hall) for payment.  
- Sends copy of VSPF to COE Associate Dean’s Office (181 M Cory Hall) |
| 8    | Central Payroll | - Once completed VSPF and all GLACIER documents are received, Payment is processed*** |

*Refers to the responsible PI, RSO or Authorized Requestor initiating payment  
**All Glacier information must be completed before payment can be processed  
***VSPF normally takes about 7 business days to process – IF ALL DOCUMENTATION IS COMPLETE
Vendor Request Form
(Click on the form below to open the fillable PDF)

(Used with Visiting Scholar Payment Form—See step 2 in Visiting Scholar Payment Form Process)
Visiting Scholar Payment Form

(Click on the form below to open the fillable PDF)

University of California, Berkeley
COE Visiting Scholar/Visiting Student Researcher Payment Request Form

☐ Initial Request ☐ Extension of Prior Request ☐ Amendment to Prior Request

Date of Request: _______________________

Part I: Visitor Information - Name as it appears on your passport or social security card

Surname/Family Name: _________________________ First/Given Name: _________________________ Middle Initial: _________

BFS Vendor #: _________________________ Cal Net ID #: _________________________ Home Academic Inst. (if applicable): _________________________

Approved UCB Visitor Period: Begin Date: _________________________ End Date: _________________________


If the payee is not a U.S. Citizen or Permanent Resident, they will be required to complete a UCB GLACIER Tax Record before payment can be made. For information regarding payments to foreign individuals see http://payroll.berkeley.edu/GLACIER/GLACIERindex.htm

Part II: Payment Information

Attach a copy of approved appointment memo. Payment request can not be processed without this information.

☐ Single Payment ☐ Monthly Payment ☐ Other Frequency ☐ Payment Period (Begin - End): _________________________

<table>
<thead>
<tr>
<th>Start Date</th>
<th># of Payments</th>
<th>Payment Amount</th>
<th>Total Award</th>
<th>BU</th>
<th>Account</th>
<th>Fund</th>
<th>Org</th>
<th>Program</th>
<th>Project</th>
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Electronic funds transfer (EFT) is the preferred method of payment for all students and foreign scholars. EFT applications and instructions may be found at http://financialoperations.berkeley.edu/forms/dish/signatureauthorization.pdf.

Departmental Contact

Name: _________________________ Dept: _________________________ Phone: _________________________ email: _________________________

Part III: Certification and Approval

I certify that the payee satisfies the University of California at Berkeley’s criteria for a Visiting Scholar/Student Researcher and the information provided on this form is correct. This individual is not classified as an employee and there are no performance deliverables required throughout their stay.

P I Signature: _________________________ Printed Name: _________________________ Date: _________________________

Payroll Approval: _________________________ Date: _________________________
Postdoctoral Scholars

A Postdoctoral Scholar is someone who has received their Ph.D. within the last three years and has never held a faculty appointment. Postdoc Scholar appointments are intended to provide a full-time program of advanced academic preparation and research training. Initial appointments are for a minimum of one year. This title is limited to three years and appointments are normally approved one year at a time.

Postdoctoral Scholars are covered under the United Auto Workers union contract (UAW-PX). As part of their union contract, postdocs are required to have a written performance evaluation annually.

Postdocs are paid according to an experience level minimum. They must be compensated at, or above the designated salary level based on their research experience since receipt of their Ph.D.

The Postdoc Series has three titles:

**Postdoctoral Scholar-Employee (3252)**
An appointment is made in the title “Postdoctoral Scholar-Employee” when (1) the agency funding the salary requires or permits the appointee to be an employee of the University or (2) whenever General funds, opportunity funds or other discretionary funds are used to support the position (3) when faculty want to pay additional compensation to a postdoc. This title can be used for Postdoc-Paid Directs or Postdoc Fellows who have a fellowship that falls below the campus minimum or to maintain equity with other postdocs in the same lab/unit. A primary appointment as a Postdoc-Paid Direct or Postdoc Fellow is required for this definition #3. Minimum appointment duration (at 100%) is one year.

**Postdoctoral Scholar-Paid Direct (3254)**
An appointment is made in the title “Postdoctoral Scholar-Paid Direct” when the postdoctoral scholar has been awarded a fellowship or traineeship by an extramural agency and the agency pays the fellowship directly to the Postdoctoral Scholar, rather than through the University. Such appointments have a “without salary” status.

**Postdoctoral Scholar-Fellow (3253)**
An appointment is made in the title “Postdoctoral Scholar-Fellow” when the Postdoctoral Scholar has been awarded a fellowship or traineeship for postdoctoral study by an extramural agency and the fellowship or traineeship is paid through a University Account.
# Postdoc Appointment Process

<table>
<thead>
<tr>
<th>Step</th>
<th>Owner</th>
<th>Process</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Host Faculty</td>
<td>• Determines they would like to mentor a Postdoctoral Scholar and contacts HR Administrator</td>
</tr>
</tbody>
</table>
| 2    | HR Administrator       | • Gathers the necessary documents from the scholar and provides other required forms:  
|      |                        |   - Gateway application  
|      |                        |   - CV (not required with extension)  
|      |                        |   - Proof of Ph.D. (not required with extension)  
|      |                        |   - Funding source and amount*  
|      |                        |   - Postdoc Scholar Appointment Form or Memo                               |
| 3    | HR Administrator       | • Prepares the application in Gateway  
|      |                        | • Submits the Documents to ERSO Academic HR Assistant (193 M Cory Hall)    |
| 4    | ERSO Academic HR Asst | • Ensures all documents are submitted  
|      |                        | • Routes case to ERSO Academic HR Analyst                                   |
| 5    | ERSO Academic HR Analyst | • Gives final review of case and approves it  
|      |                        | • The appointment is also approved in Gateway  
|      |                        | • Copy of approved form/memo is sent back to HR Administrator               |
| 6    | HR Administrator       | • Sends Postdoc letter to Postdoc and sends a copy to ERSO Academic HR Assistant for the file |

*Must meet the established experience level minimum. Postdoc Fellows and Postdoc Paid Direct appointments must also provide a copy of the award guidelines.*
# Postdoc Appointment Request Form

(Click on the form below to open the fillable PDF)

## REQUEST FOR POSTDOC APPOINTMENT

<table>
<thead>
<tr>
<th>Name:</th>
<th>Request Date:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Email Address:</td>
<td>Academic Department:</td>
</tr>
<tr>
<td>Will the Scholar Need a Visa?</td>
<td>If Yes, What Type:</td>
</tr>
</tbody>
</table>

### Appointment and Required Documentation:

*Postdoctoral titles are limited to three years (including prior postdoctoral employment)*

- **Initial**
  1. Appointment request form, 2) Current CV, 3) Proof of PhD, 4) VSPA application
  [https://vspa.berkeley.edu/pdform.doc](https://vspa.berkeley.edu/pdform.doc)

- **Extension**
  1. Appointment request form, 2) Current CV, 3) VSPA application
  [https://vspa.berkeley.edu/pdform.doc](https://vspa.berkeley.edu/pdform.doc)

- **Merit**
  1. Appointment request form, 2) Current CV, 3) Memo of support/justification

- **Exception**
  1. Appointment request form, 2) Current CV, 3) Justification

*Exceptions to the three year limit may be considered on a case by case basis, to allow for completion of a postdoc's research activities, or if there is a change in discipline requiring further practical training in another field.*

<table>
<thead>
<tr>
<th>Title:</th>
<th>Percentage:</th>
</tr>
</thead>
</table>

### Dates of Appointment:

*One year unless exception is requested*

<table>
<thead>
<tr>
<th>Begin:</th>
<th>End:</th>
</tr>
</thead>
</table>

### Annual Full-Time Salary Rate:


### PhD Conferal Date: Institution:

### *Accepted documentation for proof of PhD:*

Copy of degree or verification from home institution's Graduate Division or Registrar that requirements have been met and anticipated date of degree conferral.

*Provisional approval subject to receipt of degree.*

### Funding Source:

<table>
<thead>
<tr>
<th>3252/Employee: Funding Agency Name:</th>
<th>Type of Funding</th>
</tr>
</thead>
<tbody>
<tr>
<td>Chartstring:</td>
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</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>3253/Fellow: (include copy of award showing primary source of funding):</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>3254/Paid Direct: (include copy of award):</th>
</tr>
</thead>
</table>

*3254/Paid Direct must have postdoctoral fellowship that meets the campus minimum financial support requirement*

*All costs associated with workstation set up, computers and support, office supplies, telephones, and ergonomic equipment will be the responsibility of the Faculty requesting this position.*
Postdoc Salary/Stipend Scale

Effective June 1, 2011 the salary/stipend scale below was implemented. All Postdocs appointed effective that date and beyond must be appointed at or above the appropriate experience rate and all future appointments must be to at least the appropriate experience based salary/stipend rate.

Postdocs who were employed as of August 12, 2010 and receiving a salary/stipend below the appropriate experience level shall be moved to the appropriate salary/stipend rate or receive a 3% increase if moving to the appropriate experience level would equal more than 3%. The percentage will increase to 3.5% from June 1, 2013-May 31, 2014. If a Postdoc is paid above their experience level, the postdoc shall receive at least a 2% increase.

<table>
<thead>
<tr>
<th>Experience Level</th>
<th>Annual Salary</th>
<th>Monthly Salary</th>
</tr>
</thead>
<tbody>
<tr>
<td>Level 0 (0-11 months)</td>
<td>$38,496</td>
<td>$3,208.00</td>
</tr>
<tr>
<td>Level 1 (12-23 months)</td>
<td>$40,548</td>
<td>$3,379.00</td>
</tr>
<tr>
<td>Level 2 (24-35 months)</td>
<td>$43,476</td>
<td>$3,626.00</td>
</tr>
<tr>
<td>Level 3 (36-47 months)</td>
<td>$45,192</td>
<td>$3,766.00</td>
</tr>
<tr>
<td>Level 4 (48-59 months)</td>
<td>$46,884</td>
<td>$3,907.00</td>
</tr>
<tr>
<td>Level 5 (60-71 months)</td>
<td>$48,900</td>
<td>$4,075.00</td>
</tr>
</tbody>
</table>
## Postdoc Title Matrix

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Definition</strong></td>
<td>Postdoc is classified as a Postdoctoral Scholar-Employee if his/her salary will be paid via University payroll. Or 3) This title can be used to give a Postdoc-Fellow or Paid Direct a supplement. A supplement is used to bring a Postdoc-Fellow or Paid Direct to the postdoc minimum salary or to make a postdoc’s salary equitable with other postdocs in the lab.</td>
<td>Postdoc is classified as a Postdoctoral Scholar-Fellow if fellowship/traineeship is paid via a University account but funding is from external agency.</td>
<td>Postdoc is classified as a Postdoctoral Scholar-Paid Direct if fellowship/traineeship is paid from an extramural agency and the agency pays the fellowship or traineeship directly to the postdoctoral scholar, rather than through the University. These appointments have a “without-salary” status.</td>
</tr>
<tr>
<td><strong>Salary Requirements</strong></td>
<td>Effective June 1, 2011, salary is based on experience level but PI's can always opt to pay postdoc above experience level. Upon anniversary date or reappointment, each postdoc is required to receive: 2% increase if above experience rate or 3% increase if below experience rate (can also be moved to appropriate experience level). 3.5% increase will take effect for postdocs below experience level June 1, 2013-May 31, 2014.</td>
<td>Benefit payments are negotiated between the Postdoc and PI.* At minimum, PI is required to pay cost of Workers Comp, Life Insurance (including AD&amp;D) and Short Term Disability.</td>
<td>Benefit payments are negotiated between the Postdoc and PI.* At minimum, PI is required to pay cost of Workers Comp, Life Insurance (including AD&amp;D) and Short Term Disability.</td>
</tr>
<tr>
<td><strong>Benefit Eligibility</strong></td>
<td>Postdoc employees and their dependents are eligible for full benefits.</td>
<td>Benefit payments are negotiated between the Postdoc and PI.* At minimum, PI is required to pay cost of Workers Comp, Life Insurance (including AD&amp;D) and Short Term Disability.</td>
<td>Benefit payments are negotiated between the Postdoc and PI.* At minimum, PI is required to pay cost of Workers Comp, Life Insurance (including AD&amp;D) and Short Term Disability.</td>
</tr>
</tbody>
</table>
Non-Senate Research Titles Overview

The next few pages of the manual will go over the non-senate research titles that go to APO for a layoff number or for final approval. These titles are:

<table>
<thead>
<tr>
<th>Specialist Series</th>
<th>Project Series</th>
<th>Research Series</th>
</tr>
</thead>
<tbody>
<tr>
<td>Junior Specialist</td>
<td>Assistant Project</td>
<td>Assistant Research</td>
</tr>
<tr>
<td>Assistant Specialist</td>
<td>Associate Project</td>
<td>Associate Research</td>
</tr>
<tr>
<td>Associate Specialist</td>
<td>Project</td>
<td>Research</td>
</tr>
<tr>
<td>Specialist</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

To get these titles approved for an appointee a PI already has in mind, a form called an “Exceptional Permission to Recruit” (EPTR) or a form called “Exceptional Permission to Recruit-Search Waiver” (Targeted Hire) must be used. If the PI doesn’t have someone in mind, they would do a search for a candidate. A form called “Permission to Recruit” (PTR) must be used and an academic search must be completed (more information on the following page).

An Exceptional Permission to Recruit is used to appointment individuals at 51% or more time for one year or less. When the individual has completed their year of research, their appointment should end (sometimes an exception for a few months can be approved). If their appointment will extend for another year, an Exceptional Permission to Recruit-Search Waiver should be submitted.

An Exceptional Permission to Recruit-Search Waiver also called a targeted hire is used to appoint an individual when the PI knows he will keep the appointee longer term and will be extending the appointment beyond one year. Once the Exceptional Permission to Recruit-Search Waiver is approved, a memo can be sent to extend the appointment in subsequent years.

The Associate Dean for Research is the final approver for all Junior and Assistant levels of these academic titles. The titles at that level go to APO so the job classification and description can be checked against a list of academic employees who were laid off. Once it’s been determined that there are no candidates in layoff status to consider for the position, a layoff number is assigned and the Exceptional Permission to Recruit is sent back to the ERSO Academic HR Analyst.

The titles above the Junior and Assistant level are concurred by the Associate Dean for Research and then the case is sent to APO for final approval from the Vice Provost and/or Budget Committee.

These titles are considered to be full time appointments, but if there is a request for an appointment below 100%, a Part Time Check Sheet must be included with the case.

In the pages below, you will find links to the Exceptional Permission to Recruit form, Exceptional Permission to Recruit-Search Waiver, Permission to Recruit and Part Time Check Sheet.
Exceptional Permission to Recruit (EPTR)

(Click on the form below to open the fillable PDF)
Exceptional Permission to Recruit-Search Waiver

(Click on the form below to open the fillable PDF)

College of Engineering - Office of the Associate Dean for Research

REQUEST FOR SEARCH WAIVER

(Only for titles not final with the Budget Committee)

ACADEMIC NON-SENATE

EXCEPTIONAL PERMISSION TO RECRUIT

Instructions: This Exceptional Permission to Recruit/Search Waiver Request should be submitted to APO ONE MONTH PRIOR TO EFFECTIVE DATE. Attach any supporting documents and a Curriculum Vitae. If this position manages/supervises, please attach organizational chart.

In accordance with the Academic non-Senate recruitment policy, we request permission to recruit as follows:

DEPARTMENT/UNIT:

PERSON REQUESTED:

PROPOSED TITLE OF POSITION: PROPOSED SALARY: PERCENT OF TIME: % Fixed Variable

Subject to approval

APPOINTMENT DATES: Subject to approval

FUNDING AGENCY

Form through

DUTIES OF POSITION (summarize responsibilities, include supervision, report preparation, etc. If this position manages or supervises, please include organizational chart):

QUALIFICATIONS REQUIRED FOR THE POSITION (degree, field, professional experience):

Page 1 of 2
Part Time Check Sheet

(Click on the form below to open the fillable PDF)

The reason for the part time appointment (below 100%) must be included on this form. Also, both the PI and the appointee must sign that they agree to the reduced appointment percentage.
Academic Search

An academic search is the process of recruiting and selecting the best academic employee for an open position on a project. Academic personnel policy and federal affirmative action regulations require a full search for most regularly authorized academic appointments.

Conducting full and open searches is important in obtaining the highest quality academic appointees and ensuring equal opportunity in academic hiring. The academic search process is very detailed and takes approximately three months from start to finish before a candidate can be hired.

When a PI already knows who he'd like to hire for an open position on his project, he would use an Exceptional Permission to Recruit or an Exceptional Permission to Recruit-Search Waiver. These two forms allow a PI to hire an appointee without doing a full search.

To begin the process of recruiting for an open academic position, a form called a Permission to Recruit must be used. This form allows the Academic Personnel Office to classify the position before it’s posted on any academic job websites and also gives the Office for Faculty Equity the information they need to post the job.
Permission to Recruit (PTR)

(Click on the form below to open fillable PDF document-Pgs. 1 & 2)

Complete both pages of this form.
Page 1 of 2

ACADEMIC NON-SENATE
PERMISSION TO RECRUIT / LAYOFF CLEARANCE FORM
A MINIMUM OF TWO WEEKS IS REQUIRED FOR REVIEW AND APPROVAL

In accordance with the Academic non-Senate recruitment policy, we request notification of anyone on layoff status who can fill the position listed below. If there is no layoff candidate to consider at this time, we request approval of the proposed classification and permission to recruit for the position.

<table>
<thead>
<tr>
<th>DEPARTMENT / UNIT</th>
</tr>
</thead>
<tbody>
<tr>
<td>PROPOSED TITLE OF POSITION</td>
</tr>
<tr>
<td>Subject to approval</td>
</tr>
<tr>
<td>APPOINTMENT DATES</td>
</tr>
<tr>
<td>May not exceed 12 months in duration</td>
</tr>
</tbody>
</table>

FUNDING AGENCY

CHECK ONE:

☑ Appointment will be at less than 51% time OR for one year or less

☐ Appointment may be longer than one year, at 51% time or more. Approval is requested for an announcement (attached), to be used in conducting an affirmative action search.

DUTIES OF POSITION (Summarize responsibilities, include supervision, report preparation, etc. If this position manages or supervises, please include organizational chart.)

MINIMUM QUALIFICATIONS REQUIRED (degree, field, professional experience):

Requested by:

Principal Investigator

Signature

Date

Class/Director

Signature

Date

Approved for Recruitment:

Dean

Signature

Date

Campus Administrative Officer

Signature

Date
# Academic Search Process

<table>
<thead>
<tr>
<th>Step</th>
<th>Owner</th>
<th>Process</th>
</tr>
</thead>
</table>
| 1 | Requestor (PI, RSO or other authorized requestor) | - Determines they would like to hire an academic non-Senate employee for a project and sends the following information to HR Coordinator:  
  - Duties of position  
  - Key responsibilities  
  - Minimum qualifications  
  - Knowledge and skills needed  
  - Proposed salary range  
  - Proposed appointment dates |
| 2 | HR Coordinator | - Reviews information and determines classification for position  
  - Develops job ad and lists themselves as contact on ad  
  - Completes PTR and sends to PI and Chair for signature  
  - Submits signed PTR and job ad to ERSO Academic HR Analyst  
  - Requests access to the Academic Search Data Collection Site by giving the following information to the Office for Faculty Equity (admin.ofe@berkeley.edu or 2-1935):  
    - Name  
    - Employee ID number  
    - Email Address  
    - Department Code |
| 3 | ERSO Academic HR Analyst | - Reviews PTR and job ad  
  - Obtains signature from Associate Dean for Research  
  - Submits signed job ad and PTR to APO/Faculty Equity Office for final approval |
| 4 | APO/Office for Faculty Equity | - Reviews documents and assigns PTR number to request (takes approximately one month for approval)  
  - Ensures application date is 30 days from PTR approval date (must fall on weekday)  
  - Sends approved PTR and job ad to ERSO Academic HR Analyst |
| 5 | ERSO Academic HR Analyst | - Sends approved PTR and final job ad to HR Coordinator |
| 6 | HR Coordinator | - Sends job posting request to admin.ofe@berkeley.edu as a word document with PTR number in the subject line of the email (in body of email include that ad has already been approved by APO & OFE)  
  - Posts jobs on other websites if requested on job announcement summary |
| 7 | Office for Faculty Equity | - Posts job on UCB employment site and HERC for a minimum of 30 days (final application date must fall on a weekday) |
# Academic Search Process (Continued)

<table>
<thead>
<tr>
<th>Step</th>
<th>Role</th>
<th>Activities</th>
</tr>
</thead>
</table>
| 8    | HR Coordinator |  - Receives applications and forwards them on to head of interview panel  
        - Sends Faculty Search Form and assessment codes from Candidate Demographic Data Form to Requestor to complete and return at the end of candidate selection process (see resources below)  
        - Enters applicants data in the Academic Search Data Collection Site (ASDCS) as it’s received |
| 9    | Requestor |  - Works with interview panel to determine best candidate for position  
        - Submits Faculty Search Form with statement about finalists to HR Coordinator (see links below)  
        - Submits detailed memo addressed to Associate Dean for Research describing reasons final candidate was chosen |
| 10   | HR Coordinator |  - Obtains Chair’s signature on memo  
        - Submits final candidate hiring request for Associate Dean for Research’s concurrence to ERSO Academic HR Analyst, which includes:  
          - Memo  
          - Faculty Search Form with statements about finalists  
          - Position Summary (automatically generated on ASDCS)  
          - Candidate Demographic Data (automatically generated on ASDCS) |
| 11   | ERSO Academic HR Analyst |  - Reviews final candidate hiring request and obtains signature from Associate Dean  
        - Submits final candidate hiring request to APO for final approval from Associate Vice Provost |
| 12   | APO |  - Reviews and approves final candidate hiring request  
        - Sends approval to ERSO Academic HR Analyst |
| 13   | ERSO Academic HR Analyst |  - Sends final approval to HR Coordinator |
| 14   | HR Coordinator |  - Notifies Requestor that request was approved  
        - Assists Requestor in hiring new academic employee |

## Resources:

- **Faculty Search Form:**
  [http://facultyequity.chance.berkeley.edu/resources/FINAL_Search_Report_FORM.doc](http://facultyequity.chance.berkeley.edu/resources/FINAL_Search_Report_FORM.doc)
- **Statement About Finalists (sample):**
  [http://facultyequity.chance.berkeley.edu/resources/FINAL_SR_statements_about_the_finalists.doc](http://facultyequity.chance.berkeley.edu/resources/FINAL_SR_statements_about_the_finalists.doc)
- **Academic Search Data Collection Site:**
  [http://facultyequity.chance.berkeley.edu/resources/survey.shtml](http://facultyequity.chance.berkeley.edu/resources/survey.shtml)
- **Candidate Demographic Data Form:**
  [http://facultyequity.chance.berkeley.edu/resources/candidate_Demographic_Data_Form_%28Form_2%29.doc](http://facultyequity.chance.berkeley.edu/resources/candidate_Demographic_Data_Form_%28Form_2%29.doc)
Specialist Series

The Specialist series is used for academic appointees who are engaged in research in specialized areas who do not have any teaching responsibilities. They may also provide significant research support to their Principal Investigator.

There are four levels in this series:

- Junior Specialist
- Assistant Specialist
- Associate Specialist
- Specialist

A Ph.D. is not required for this title but normally a B.S. or B.A. in a related field is required for the junior level while a Master's degree is normal for the upper levels. Here are the typical degree/experience criteria for each level:

- Junior Specialist = New Bachelor's degree or equivalent
- Assistant Specialist = Master's Degree
- Associate Specialist = Master's Degree plus five years research experience
- Specialist = Master's Degree plus ten years research experience

Here is a list of required documents to get this appointment type approved:

- Exceptional Permission to Recruit (used for appointments more than 50% for up to one year).
- Targeted Hire /Request for Search Waiver (used if for appointee’s PI would like to appoint longer than one year)
- Follow check sheet for Associate and Full Project levels
- Memo (if appointment is less than 50% time)
- CV (with publications list if applicable)
- Funding Confirmation
Associate and Full Specialist Check Sheet

(Click on the form below to open a full page view)

Date Prepared: ____________________________  College of Engineering

Appointment Full/Associate Specialist

(Gen APM 330-4) The Specialist series is used for academic appointees who are engaged in research in specialized areas and who do not have any teaching responsibilities. An approved Permission to Recruit (PTR) Form, Exceptional Permission to Recruit or Search Waiver is required.

NAME: ____________________________  DEPARTMENT: ____________________________

TITLE: ____________________________  EFFECTIVE DATE: ____________________________

ANNUAL SALARY: ____________________________  STEP: ____________________________  PERCENTAGE: ____________________________

PRESENT POSITION: ____________________________  NAME OF INSTITUTION: ____________________________  SALARY: ____________________________

CHECK LIST: (Each item should be checked)

☐ Director/Chair’s recommendation and/or concurrence should include:
  1) Detailed description of duties and responsibilities of requested position
  2) Estimate the length of time candidate’s services will be needed.
  3) Qualifications of candidate, including:
     a) Educational Background
     b) Report and analysis on research activities, publications, and/or creative work
  4) Fairness Statement
     Current Biography (Form 1501 is preferred) including all UC employment: Title, %, Department, Dates of previous employment with UC.
     Current Bibliography

☐ Exceptional Permission to Recruit Form (for appointments up to one year at more than 50% time)

☐ Search Waiver with Justification:
  ☐ Unique qualifications of selected candidate
  ☐ Reason(s) why a full search would not yield a more qualified candidate
  ☐ Impact to the research project

☐ Affirmative Action Search Report (required for over 50% employment when there is a clear expectation of reappointment beyond the first year of service)
  ☐ Summaries A through E
  ☐ Forms I and II
  ☐ Departmental Committee Report
  ☐ Copy of actual ad as it appeared in the journal
  ☐ Copy of approved PTR
  ☐ Supporting letters, if any (must be solicited under UCB Confidentiality Policy)
     a) From colleagues in other institutions where candidate has served
     b) From other qualified persons having firsthand knowledge of candidate’s achievements

Case must be submitted well in advance of the proposed date of hire. Appointment requests submitted without ample lead time will require a written explanation of lateness, and may not be approved retroactively. Additionally, requests submitted without sufficient lead time may result in substantial delays in pay, benefits, and university privileges, and visa applications (when applicable) for the appointee.

☐ Explanation of lateness

Created 11/2011
# Specialist Series Salary Scale

(Click on the scale below to open a full page view)

## TABLE 24
### SPECIALIST SERIES*
#### FISCAL YEAR

<table>
<thead>
<tr>
<th>Rank</th>
<th>Step</th>
<th>Years at 10/1/09</th>
<th>Minimum Scale 10/1/11</th>
<th>Adjusted Scale 10/1/11</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td>Annual</td>
<td>Monthly</td>
</tr>
<tr>
<td>Junior</td>
<td>I</td>
<td>1</td>
<td>33,072</td>
<td>2,806.00</td>
</tr>
<tr>
<td>Specialist</td>
<td>II</td>
<td>1</td>
<td>35,904</td>
<td>2,902.00</td>
</tr>
<tr>
<td>Assistant</td>
<td>I</td>
<td>2</td>
<td>38,952</td>
<td>3,246.00</td>
</tr>
<tr>
<td>Specialist</td>
<td>II</td>
<td>2</td>
<td>41,468</td>
<td>3,458.00</td>
</tr>
<tr>
<td></td>
<td>III</td>
<td>2</td>
<td>44,400</td>
<td>3,700.00</td>
</tr>
<tr>
<td>Associate</td>
<td>I</td>
<td>2</td>
<td>48,372</td>
<td>4,031.00</td>
</tr>
<tr>
<td>Specialist</td>
<td>II</td>
<td>2</td>
<td>51,720</td>
<td>4,310.00</td>
</tr>
<tr>
<td></td>
<td>III</td>
<td>2</td>
<td>55,484</td>
<td>4,622.00</td>
</tr>
<tr>
<td></td>
<td>IV</td>
<td>--</td>
<td>58,224</td>
<td>4,852.00</td>
</tr>
<tr>
<td>Specialist</td>
<td>I</td>
<td>3</td>
<td>62,832</td>
<td>5,211.00</td>
</tr>
<tr>
<td></td>
<td>II</td>
<td>3</td>
<td>68,748</td>
<td>5,729.00</td>
</tr>
<tr>
<td></td>
<td>III</td>
<td>--</td>
<td>70,872</td>
<td>6,400.00</td>
</tr>
<tr>
<td></td>
<td>IV</td>
<td>--</td>
<td>86,316</td>
<td>7,193.00</td>
</tr>
<tr>
<td></td>
<td>V</td>
<td>--</td>
<td>90,738</td>
<td>7,078.00</td>
</tr>
</tbody>
</table>

Comp Group A40

*The Specialist in the Agricultural Experiment Station Series is also paid on the Specialist salary scale.
# Specialist Series Appointment Process

<table>
<thead>
<tr>
<th>Step</th>
<th>Owner</th>
<th>Process</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Host Faculty</td>
<td>• Decides they would like to appoint a researcher in the Specialist Series and notifies HR Coordinator.</td>
</tr>
</tbody>
</table>
| 2    | HR Coordinator            | • Connects with the researcher and obtains necessary documents for appointment approval  
• Reviews documents and determines proper classification within series based on experience, etc.  
• Submits required documentation to ERSO Academic HR Assistant (193 M Cory Hall) |
| 3    | ERSO Academic HR Asst    | • Ensures all documents are submitted  
• Routes case to ERSO Academic HR Analyst                                                                 |
| 4    | ERSO Academic HR Analyst | • Reviews case and obtains Associate Dean’s approval  
• Submits case to Academic Personnel Office                                                                 |
| 5    | APO                       | • For Jr and Asst level, request is sent to APO for layoff number only. Approval final with Associate Dean  
• For Associate and Specialist level, request is sent to APO for final approval from Vice Provost  
• Sends approval back to ERSO Academic HR Analyst                                                                 |
| 6    | ERSO Academic HR Analyst | • Receives approved request and routes it back to HR Administrator                                                                 |

Created 11/2011
Project Series

The Project series is used for academic appointees with a Ph.D. who make significant and creative contributions to a research or creative project. Ordinarily, appointees in Project series titles will carry out research or creative programs with supervision by a member of the Professor or Professional Research Series.

Appointees in the Project series are expected to have a broader range of knowledge and competency and a higher level of independence than appointees in the Specialist series. Appointees in the project series need not demonstrate the same capacity for fully independent research or research leadership required of the Professional Research Series. This title would be the stage in between the Postdoc title and the Research series. The appointee would no longer need to be mentored as they would in the Postdoc title, but they also aren’t able to independently carry out the research as required in the research series.

There are three levels in this series:

- Assistant Project
- Associate Project
- Project

REQUIRED DOCUMENTS:

- Exceptional Permission to Recruit (used for appointments more than 50% for up to one year).
- Targeted Hire /Request for Search Waiver (used if for appointee’s PI would like to appoint longer than one year)
- Memo (if appointment is less than 50% time)
- Follow check sheet for Associate and Full Project levels
- CV (with publications list if applicable)
- Funding Confirmation
Associate and Full Project Check Sheet

(Click on the form below to open a full page view)

Date Prepared: ____________________________  Appointment: Full/Associate Project

College of Engineering

(See APM 311) Project series titles are given to those appointees who make significant and creative contributions to a research or creative project in any academic discipline. Ordinarily, appointees in this series will carry out research with supervision by a member of the Professor or Professional Research series.

NAME: ____________________________  DEPARTMENT: ____________________________

TITLE: ____________________________  EFFECTIVE DATE: __________

ANNUAL SALARY: ____________________________  STEP: ____________________________  PERCENTAGE: ____________________________

PRESENT POSITION: ____________________________  NAME OF INSTITUTION: ____________________________  SALARY: ____________________________

CHECK LIST: (Each item should be checked)

☐ Director/Chair’s recommendation and/or concurrence should include:
  ☐ 1) Detailed description of duties and responsibilities of requested position
  ☐ 2) Estimate the length of time candidate’s services will be needed.
  ☐ 3) Explain how the candidate has a higher level of independence than someone in the Specialist Series
  ☐ but does not demonstrate the same capacity for fully independent research as someone in the Professional Research Series
  ☐ 4) Qualifications of candidate, including:
    ☐ a) Educational Background
    ☐ b) Report and analysis on research activities, publications, and/or creative work
  ☐ 5) Fairness Safeguard Statement
    ☐ Current Biography (Form 1301 is preferred) including all UC Employment: Title, %, Department, Dates of previous employment with U.C.
    ☐ Current Bibliography
  ☐ Memo (if appointment is 50% or less)
  ☐ OR
  ☐ Exceptional Permission to Recruit Form (for appointments up to one year at more than 50% time)
  ☐ OR
  ☐ Search Waiver with Justification (for appointments longer than one year at more than 50% time:
    ☐ Unique qualifications of selected candidate
    ☐ Reason(s) why a full search would not yield a more qualified candidate
    ☐ Impact to the research project
  ☐ Cases must be submitted well in advance of the proposed date of hire. Appointment requests submitted without ample lead time will require a written explanation of lateness, and may not be approved retroactively. Additionally, requests submitted without sufficient lead time may result in substantial delays in pay, benefits, and university privileges, and visa applications (when applicable) for the appointee.
  ☐ Explanation of Lateness
<table>
<thead>
<tr>
<th>Bank</th>
<th>Step</th>
<th>Years at 10/1/08</th>
<th>Minimum Scale 10/1/11</th>
<th>Adjusted Scale 10/1/11</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Annual</td>
<td>Monthly</td>
<td>Annual</td>
</tr>
<tr>
<td>Assistant</td>
<td>I</td>
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<td>Associate</td>
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</table>
# Project Series Appointment Process

<table>
<thead>
<tr>
<th>Step</th>
<th>Owner</th>
<th>Process</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Host Faculty</td>
<td>• Decides they would like to appoint a researcher in the Project Series and notifies HR Coordinator.</td>
</tr>
</tbody>
</table>
| 2    | HR Coordinator              | • Connects with the researcher and obtains necessary documents for appointment approval  
• Reviews documents and determines proper classification within series based on experience, etc.  
• Submits required documentation to ERSO Academic HR Assistant (193 M Cory Hall) |
| 3    | ERSO Academic HR Asst      | • Ensures all the necessary documents were submitted with case  
• Routes case to ERSO Academic HR Analyst                                                                                     |
|      | ERSO Academic HR Analyst   | • Reviews case and obtains Associate Dean’s approval  
• Submits case to Academic Personnel Office                                                                                   |
| 4    | APO                         | • For Asst level, request is sent to APO for layoff number only. Approval final with Associate Dean  
• For Associate and Project level, request is sent to APO for final approval from Budget Committee and Vice Provost  
• Sends approval back to Associate Dean’s Office                                                                           |
| 5    | Associate Deans Office      | • Receives approved request and routes it back to HR Coordinator                                                                      |
Research Series

The Professional Research series is used for academic appointees with a Ph.D. who engage in independent and creative research activity of high quality at the equivalent to that required of the Professor series. Their research qualifications and accomplishments as well as their professional competence and activity should be comparable to those in the Professor series.

There is a limitation of eight years at the Assistant Research level.

There are three levels in this series:

- Assistant
- Associate
- Research

BASIC REQUIRED DOCUMENTS (see full check sheet of requirements on next page):

- Exceptional Permission to Recruit (used for appointments more than 50% for up to one year).
- Targeted Hire /Request for Search Waiver (used if for appointee’s PI would like to appoint longer than one year)
- Memo (if appointment is less than 50% time)
- CV (with publications list if applicable)
- Funding Confirmation
- Additional Items on check sheet

For appointments at the Associate and Research levels please include most, if not all, of the documents requested on the check sheet below. Providing this documentation will give the Vice Provost and the Budget Committee all the information they need to approve the requested appointment.
# Check Sheet for Associate Research & Full Research Appointment

**College of Engineering**

**Appointment: Full/Associate Research**

*(See APM 310)* Professional Research Titles are given to those who hold the Ph.D. or equivalent degree, who engage personally and directly in research to foster the generation of new information, ideas, and other creative work which can be shared through publication.

<table>
<thead>
<tr>
<th>Name</th>
<th>Department</th>
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<table>
<thead>
<tr>
<th>Title</th>
<th>Effective Date</th>
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<tr>
<th>Annual Salary</th>
<th>Step</th>
<th>Percentage</th>
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<thead>
<tr>
<th>Present Position</th>
<th>Name of Institution</th>
<th>Salary</th>
</tr>
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<tbody>
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</tbody>
</table>

**Check List:** (Each item should be checked)

- Director/Chair’s recommendation and/or concurrence should include:
  - 1) Detailed description of duties and responsibilities of requested position
  - 2) Estimate the length of time candidate’s services will be needed
  - 3) Qualifications of candidate, including:
    - a) Educational Background
    - b) Report on research activity, publications, and creative work since Ph.D. including:
      - 1) Scope and quality of research accomplishments, with particular emphasis on papers and articles which have appeared in refereed publications. Single out and evaluate extent of candidate’s contribution to collaborative work or co-authored publications.
      - 2) Impact on achievements on candidate’s field
      - 3) Ranking in the field in comparison with others in an equivalent employment status and years of research experience
    - 4) Fairness Safeguard Statement
  - Report on special honors and awards, if any.
  - If off-scale salary is recommended, state reasons.
  - Current Biography (Form 1501 is preferred) including all UC Employment: Title, %, Department, Dates of previous employment with UC.
  - Current Bibliography
    - Publication list (must be broken down by category: refereed pubs, papers, reports and conference proceedings)
    - Reviews of candidate’s publications (if any)
    - Publications (number each one and provide a table)
    - Departmental Committee Report (if any)

Revised 07/2010
# Research Series Salary Scale

(Click on the scale below to open a full page view)

## TABLE 15

UC BERKELEY
PROFESSIONAL RESEARCH SERIES
BUSINESS/ECONOMICS/ENGINEERING

FISCAL YEAR

<table>
<thead>
<tr>
<th>Rank</th>
<th>Years at 10/1/09</th>
<th>Salary Scale</th>
<th>Minimum Scale</th>
<th>Adjusted Scale</th>
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<td>10/1/09</td>
<td>10/1/11</td>
<td>10/1/11</td>
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<tr>
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<td>Annual</td>
<td>Monthly</td>
<td>Annual</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Annual</td>
<td>Monthly</td>
<td>Annual</td>
</tr>
<tr>
<td>Assistant Research</td>
<td>I 2</td>
<td>82,200 6,850.00</td>
<td>82,200 6,850.00</td>
<td>84,700 7,058.33</td>
</tr>
<tr>
<td></td>
<td>II 2</td>
<td>68,500 7,208.33</td>
<td>68,500 7,208.33</td>
<td>69,100 7,425.00</td>
</tr>
<tr>
<td></td>
<td>III 2</td>
<td>90,700 7,558.33</td>
<td>90,700 7,558.33</td>
<td>93,400 7,783.33</td>
</tr>
<tr>
<td></td>
<td>IV 2</td>
<td>95,600 7,966.67</td>
<td>95,600 7,966.67</td>
<td>96,500 8,206.33</td>
</tr>
<tr>
<td></td>
<td>V 2</td>
<td>99,700 8,308.33</td>
<td>99,700 8,308.33</td>
<td>102,700 8,558.33</td>
</tr>
<tr>
<td></td>
<td>VI 2</td>
<td>103,300 8,608.33</td>
<td>103,300 8,608.33</td>
<td>106,400 8,966.67</td>
</tr>
<tr>
<td>Associate Research</td>
<td>I 2</td>
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<td>99,800 8,316.67</td>
<td>102,800 8,566.67</td>
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<tr>
<td></td>
<td>II 2</td>
<td>103,400 8,616.67</td>
<td>103,400 8,616.67</td>
<td>106,500 8,875.00</td>
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<tr>
<td></td>
<td>III 2</td>
<td>107,500 8,916.67</td>
<td>107,500 8,916.67</td>
<td>110,700 9,225.00</td>
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<tr>
<td></td>
<td>IV 3</td>
<td>110,800 9,233.33</td>
<td>110,800 9,233.33</td>
<td>114,100 9,508.33</td>
</tr>
<tr>
<td></td>
<td>V 3</td>
<td>114,000 9,500.00</td>
<td>114,000 9,500.00</td>
<td>117,400 9,783.33</td>
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<tr>
<td>Research</td>
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<td>110,900 9,241.67</td>
<td>114,200 9,516.67</td>
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<tr>
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<td>II 3</td>
<td>114,100 9,508.33</td>
<td>114,100 9,508.33</td>
<td>117,500 9,791.67</td>
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<tr>
<td></td>
<td>III 3</td>
<td>123,600 10,050.00</td>
<td>123,600 10,050.00</td>
<td>124,200 10,350.00</td>
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<tr>
<td></td>
<td>IV 3</td>
<td>127,700 10,641.67</td>
<td>127,700 10,641.67</td>
<td>131,500 10,958.33</td>
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<td></td>
<td>V –</td>
<td>135,300 11,275.00</td>
<td>135,300 11,275.00</td>
<td>136,400 11,616.67</td>
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<tr>
<td></td>
<td>VI –</td>
<td>145,500 12,125.00</td>
<td>145,500 12,125.00</td>
<td>149,000 12,491.67</td>
</tr>
<tr>
<td></td>
<td>VII –</td>
<td>156,000 13,000.00</td>
<td>156,000 13,000.00</td>
<td>160,700 13,391.67</td>
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<tr>
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<td>VIII –</td>
<td>167,000 13,916.67</td>
<td>167,000 13,916.67</td>
<td>172,000 14,333.33</td>
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<td>IX –</td>
<td>180,500 15,041.67</td>
<td>180,500 15,041.67</td>
<td>185,000 15,491.67</td>
</tr>
</tbody>
</table>

Comp Group A91
# Research Series Appointment Process

<table>
<thead>
<tr>
<th>Step</th>
<th>Owner</th>
<th>Process</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Host Faculty</td>
<td>• Decides they would like to appoint someone in the Research Series and notifies HR Coordinator.</td>
</tr>
</tbody>
</table>
| 2    | HR Administrator | • Connects with the researcher and obtains necessary documents for appointment approval  
• Reviews documents and determines proper classification within series based on experience, etc.  
• Submits required documentation to ERSO Academic HR Assistant (193 M Cory Hall) |
| 3    | ERSO Academic HR Asst | • Ensures all the necessary documents were submitted with case  
• Routes case to ERSO Academic HR Analyst |
| 4    | ERSO Academic HR Analyst | • Gives final review of case and obtains signature from Associate Dean for Research  
• Once signed, submits case to Academic Personnel Office |
| 5    | APO* | • For Asst level, request is sent to APO for layoff number only. Approval final with Associate Dean for Research  
• For Associate and Research level, request is sent to APO for final approval from Budget Committee and Vice Provost  
• Sends approval back to ERSO Academic HR Analyst |
| 6    | ERSO Academic HR Analyst | • Receives approved request and routes it back to HR Administrator |

*Turnaround time at APO is approximately one month.
Non-Senate Title Matrix

(Click on the form below to open a full page view)

ACADEMIC CLASSIFICATION GUIDELINES
NON-SENATE RESEARCH TITLES

<table>
<thead>
<tr>
<th>CRITERIA</th>
<th>SPECIALIST SERIES</th>
<th>PROFESSIONAL RESEARCH SERIES</th>
<th>PROJECT SERIES</th>
</tr>
</thead>
<tbody>
<tr>
<td>Education/Experience</td>
<td>PhD. not required. Usually a B.S. or B.A. in related field for entry level (Sr. Specialist). Advanced degree is normal for upper levels. MA = 5 yrs @ Assoc. level. MA = 10 yrs. at full Specialist.</td>
<td>PhD. or equivalent foreign degree.</td>
<td>PhD. or equivalent foreign degree.</td>
</tr>
<tr>
<td>Duties:</td>
<td>Conduct research in specialized area, or provide significant research support to Principal Investigator. May be responsible for successful operation of research facility or lab, or conduct field studies to support research/curriculum development.</td>
<td>Engage independently and directly in research, not merely advancing a research project. 19900 funded have automatic Principal Investigator status by virtue of title. Non-19900 are eligible for Principal Investigator status by exception only.</td>
<td>Carry out research under the supervision of a Professor or Professional Researcher. Not expected to demonstrate same level of independence or leadership skills as Professional Researcher, but should have broader range of knowledge and work more independently than Specialist. May be considered for Principal Investigator status by exception only.</td>
</tr>
<tr>
<td>Other Duties: Administrative</td>
<td>None required, but at higher levels administrative duties may be part of job responsibilities. Principal Investigator duties if applicable.</td>
<td>None required, but implied as part of serving as Principal Investigator on large research projects involving large staffs.</td>
<td>University &amp; public service are encouraged, but not required. Additional duties implied as part of serving as Principal Investigator on research projects.</td>
</tr>
<tr>
<td>Review Criteria</td>
<td>Evaluated on research and creative activity, professional competence and activity, and University and public service.</td>
<td>Evaluated on research and creative activity, professional competence and activity, and University and public service. Publishing essential for advancement.</td>
<td>Evaluated on demonstrated significant, original &amp; creative contributions to a research or creative program or project. Professional competence &amp; activity.</td>
</tr>
<tr>
<td>Publications:</td>
<td>Not required, but most generally publish/co-publish in tenure. Required to contribute efforts that are critical to the scientific advancement of or publications by a Principal Investigator or faculty member.</td>
<td>Necessary for advancement and promotion. Same caliber as Professor Series, include refereed and non-refereed publications, archival journals, conference and symposium proceedings, technical reports, articles in non-archival magazines or journals, books and book reviews.</td>
<td>Not required, but would expect contributions towards published work. Exceptional Principal Investigators more likely to publish.</td>
</tr>
<tr>
<td>Paying:</td>
<td>1. COE for review and Assoc. Dean signature.</td>
<td>1. COE for review and Assoc. Dean signature.</td>
<td>1. COE for review and Assoc. Dean signature.</td>
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<tr>
<td></td>
<td>2. APO/9C</td>
<td>3. Returned to COE</td>
<td>2. APO/9C</td>
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<tr>
<td></td>
<td>4. Approval sent to requesting Dept.</td>
<td>4. Approval sent to requesting Dept.</td>
<td>4. Approval sent to requesting Dept.</td>
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</tbody>
</table>

NOTES:
1. All hires require PTR if going to recruit for the position.
2. All hires require EPTR if there is a specific candidate in mind.
3. All hires beyond 1 year at >5%/ require a search waiver (targeted search). Use COE EPTR/WAIVER form.
4. All require layoff list clearance from APO prior to appointment approval.
5. Extensions don’t require layoff check, but must provide prior layoff number if requesting a waiver.
6. Except for beyond one year limit don’t require a waiver as long as duration does not exceed ~6 months, but still require approval from APO.
7. Beyond one year extension when waiver wasn’t originally submitted with hire request requires waiver
Merit and Promotion Process

The merit and promotion process for non-senate academic employees is based on academic attainment, experience and performance; they are not automatic. A merit increase is an advancement either in salary step or to an above-scale salary rate without change of rank. A promotion is an advancement from one rank to a higher rank within a series, usually to the next rank.

Each year an academic personnel action calendar that gives the deadlines for merits and promotions for each title is sent out by the ERSO Academic HR Analyst.

Normal periods of service are assigned at the various salary steps in the published academic salary schedules. Although these indicate the usual intervals between advancements, they do not preclude more rapid advancement in case of exceptional merit or slower advancement when warranted.

The effective date for merit increases and promotions is July 1 of each year. Below are the different check sheets that detail what is needed for a merit within or a promotion to the Associate level or higher in the Specialist, Project and Research series.

For a merit at the Assistant level, a memo with justification is needed and a copy of the employee's CV.
Specialist Merit/Promotion Check Sheet

(Click on the form below to open the fillable PDF)

Date Prepared: ____________________________  College of Engineering

Promotion to or Merit Within Full/Associate Specialist

(See ARM 330-4) The Specialist Series is used for academic appointees who are engaged in research in specialized areas who do not have any teaching responsibilities.

<table>
<thead>
<tr>
<th>NAME:</th>
<th>DEPARTMENT:</th>
<th>EFFECTIVE DATE:</th>
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<tbody>
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<table>
<thead>
<tr>
<th>REQUESTED TITLE:</th>
<th>STEP:</th>
<th>PERCENTAGE:</th>
<th>ANNUAL SALARY:</th>
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<th>PRESENT TITLE:</th>
<th>STEP:</th>
<th>PERCENTAGE:</th>
<th>ANNUAL SALARY:</th>
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</table>

CHECK LIST: (Each item should be checked)

☐ Director/Chair’s recommendation and/or concurrence should include:
  1) Report on research and/or creative work, including:
    a) Appraisals of research publications or other creative work appearing in the scholarly and critical literature since last review.
    b) Single out and evaluate extent of the candidate’s contribution to collaborative work or co-authored publications.
    c) Assessment of work in progress, whenever possible
    d) Impact of achievements on candidate’s field.
  2) Report on special honors and awards, if any.
  3) If off-scale salary is recommended, state reasons.
  4) If acceleration is recommended, state justification.
  5) Fairness Safeguard Statement
  6) Candidate’s contribution, if any
  7) Updated CV

Promotion and Merit request should be submitted by the deadline specified on the COE Calendar. Any request submitted after the deadline must include an explanation of lateness.

☐ Explanation of Lateness

Revised 07/2010
# Project Merit/Promotion Check Sheet

(Click on the form below to open the fillable PDF)

Date Prepared: ___________________________  
College of Engineering

**Promotion to or Merit Within: Full/Associate Project**

(See APM 311) Project series titles are given to those appointees who make significant and creative contributions to a research or creative project in any academic discipline. Ordinarily, appointees in this series will carry out research with supervision by a member of the Professor or Professional Research Series.

<table>
<thead>
<tr>
<th>NAME:</th>
<th>DEPARTMENT:</th>
<th>EFFECTIVE DATE:</th>
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</table>

<table>
<thead>
<tr>
<th>REQUESTED TITLE:</th>
<th>STEP:</th>
<th>PERCENTAGE:</th>
<th>ANNUAL SALARY:</th>
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<table>
<thead>
<tr>
<th>PRESENT TITLE:</th>
<th>STEP:</th>
<th>PERCENTAGE:</th>
<th>ANNUAL SALARY:</th>
</tr>
</thead>
<tbody>
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<td></td>
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</tr>
</tbody>
</table>

**CHECK LIST:** (Each item should be checked)

- Director/Chair’s recommendation and/or concurrence should include:
  1. Report on research and/or creative work, including:
     - a) Appraisals of research publications or other creative works appearing in the scholarly and critical literature since last review (if any).
     - b) Single out and evaluate extent of the candidate’s contribution to collaborative work or co-authored publications.
     - c) Assessment of work in progress, whenever possible.
     - d) Impact of achievements on candidate's field.
     - e) National or international reputation.
     - f) Ranking in the field in comparison with others of the same employment status and years of experience.
  2. Report on special honors and awards, if any.
  3. If off-scale salary is recommended, state reasons.
  4. If acceleration is recommended, state justification.
  5. Fairness/Safeguards Statement
  6. Departmental committee report, if any
  7. Candidate’s contribution, if any
  8. Supporting letters, if any (must be sent under UCI Confidentiality Policy).
     - a) Copy of solicitation letters
     - b) Table of Recommenders and codes
  9. Updated Biography (Form 1501 is preferred)
  10. Updated Bibliography (Please indicate which publications are new since last review and separate journal publications from papers and reports & refereed and non-refereed)

**Promotion and Merit requests should be submitted by the deadline specified on the COE Calendar. Any request submitted after the deadline must include an explanation of lateness.**

Revised 07/2010
Research Merit/Promotion Check Sheet

(Click on the form below to open the fillable PDF)

Date Prepared: ____________________________

Promotion to or Merit Within: Full/Associate Research

(Name Document Checklist 8-3)

(See APM 310). Professional Research Titles are given to those who hold the Ph.D. or equivalent degree, who engage personally and directly in research to foster the generation of new information, ideas, and other creative work which can be shared through publication.

NAME: ____________________________

DEPARTMENT: ____________________________

EFFECTIVE DATE: ____________________________

REQUESTED TITLE: ____________________________

STEP: ____________________________

PERCENTAGE: ____________________________

ANNUAL SALARY: ____________________________

PRESENT TITLE: ____________________________

STEP: ____________________________

PERCENTAGE: ____________________________

ANNUAL SALARY: ____________________________

CHECK LIST: (Each item should be checked)

☑ Director/Chair’s recommendation and/or concurrence should include:

1) Report on research and/or creative work, including:
   a) Appraisals of research publications or other creative work appearing in the scholarly and critical literature since last review.
   b) Single out and evaluate extent of the candidate’s contribution to collaborative work or co-authored publications.
   c) Assessment of work in progress, whenever possible
   d) Impact of achievements on candidate’s field.
   e) National or international reputation.
   f) Ranking in the field in comparison with others of the same employment status and years of experience.

2) Report on special honors and awards, if any.

3) If off-scale salary is recommended, state reasons.

4) If acceleration is recommended, state justification.

5) Fairness Safeguard Statement

  Departmental committee report, if any

  Candidate’s contribution, if any

  Supporting letters, if any (must be solicited under UCB Confidentiality Policy). Extramural letters are necessary to document the distinction needed for advancement to Step VI of the zones
   a) Copy of solicitation letters
   b) Table of Recommenders and codes

  Updated Biography (Form 150) is preferred

  Updated Bibliography (Please indicate which publications are new since last review and separate journal publications from papers and reports & refereed and non-refereed)

  Reviews of candidate’s publications (if any), and then only those published since last review (number each and create table)

  Publications (number each one and provide a table

Promotion and Merit request should be submitted by the deadline specified on the COE Calendar. Any request submitted after the deadline must include an explanation of lateness.

☑ Explanation of Lateness

Revised 07/2010
Visiting Researchers

Visiting Researchers are professional researchers with a Ph.D. who are taking a leave of absence from their current place of employment to accept a visiting research appointment at UCB. For annual appointments that are consecutive, there is a strict two year minimum on this title.

Although there is a “visiting” prefix on this title, these are paid appointments that are NOT VSPA affiliated. Salaries for Visiting Researchers are negotiated between the Researcher and PI (salaries typically fall between the salaries on the specialist series and research series scale).

The title at their home institution should correspond with the level they are appointed at here. For example, an Associate Professor at MIT should be appointed as an Associate Research Engineer at UCB.

There are three levels in this series:

- Visiting Assistant Researcher
- Visiting Associate Researcher
- Visiting Researcher

REQUIRED DOCUMENTS:

- Memo or Visiting Researcher Appointment Request Form
- CV (with publications list if applicable)
- Funding Confirmation
Visiting Research Appointment Request Form

(Please submit a copy of appointee's CV with request)

Visiting Researchers are professional researchers with a Ph.D. who are taking a leave of absence from their current place of employment to accept a visiting research appointment at UCB. For annual appointments that are consecutive, there is a strict two year minimum on this title.

Although there is a “visiting” prefix on this title, these are paid appointments that are NOT VSPA affiliated. Salaries for Visiting Researchers are negotiated between the researcher and PI (salaries typically fall between the salaries on the specialist series and research series scale).

The title at their home institution should correspond with the level they are appointed at here. For example, an Associate Professor at MIT should be appointed as an Associate Research Engineer at UCB.

Name: ___________________________ Department: ___________________________

Title at Home Institution: ___________________________ Name of Institution: ___________________________

Proposed UCB Title: ___________________________ Visa?: ___________________________

Proposed Negotiated Monthly Salary: ___________________________ Name of Funding Source: ___________________________

Start Date: _______ End Date: _______

Percentage: ___________________________

Submit Part Time Check Sheet if less than 100%

Describe appointee's duties and responsibilities; give a statement on appointee's qualifications (degree, prior experience) and provide a statement on the current status of the appointee's position with current employer and their plans to return to their home institution at the completion of this appointment:

______________________________________________________________________________________________________________________________________________________________________________________________________________________________________________________________________________________________

Departmental Preparer: ___________________________ Signature: ___________________________ Date: ___________________________

Host Faculty Name: ___________________________ Signature: ___________________________ Date: ___________________________

Department Chair: ___________________________ Signature: ___________________________ Date: ___________________________

Fund Manager: ___________________________ Signature: ___________________________ Date: ___________________________

Fund Manager's signature confirms that there is sufficient funding for the duration of the appointment.

Associate Dean King Liu Approval: ___________________________ Date: ___________________________
## Visiting Researcher Appointment Process

<table>
<thead>
<tr>
<th>Step</th>
<th>Owner</th>
<th>Process</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Host Faculty</td>
<td>• Decides they would like to appoint a Visiting Researcher and notifies HR Administrator.</td>
</tr>
</tbody>
</table>
| 2    | HR Administrator             | • Connects with the researcher and obtains necessary documents for appointment approval  
• Reviews documents and determines proper classification within series based on experience, degree, title, etc.  
• Submits required documentation to ERSO Academic HR Assistant (193 M Cory Hall) |
| 3    | ERSO Academic HR Asst       | • Ensures all the necessary documents were submitted with case  
• Routes case to ERSO Academic HR Analyst                                             |
| 4    | ERSO Academic HR Analyst    | • Gives final review of case and obtains approval from Associate Dean for Research  
• Once approved, routes case back to HR Coordinator                                    |
Faculty Research Appointments

Faculty who go on sabbatical or reduce their teaching appointment to devote time to research should be given faculty research appointments with research title codes.

The appointment period for fall is July 1st to December 31st and the appointment period for a spring appointment is January 1st to June 30th.

Faculty are paid at the 1/12th rate (service period 9/12) for this appointment type. Their salary for their research appointment should match the salary on their appointment as a professor.

The three levels for this appointment type should match the three levels of an appointment as a professor:

- Assistant Professor = Assistant Research Engineer (job code 1985)
- Associate Professor = Associate Research Engineer (job code 1983)
- Professor = Research Engineer (job code 1981)

Once the appointment is approved, the academic department and the department requesting the research leave appointment should coordinate prior to making an entry in HCM. This will ensure the faculty member isn’t overpaid.

REQUIRED DOCUMENTS:

- Faculty Research Appointment Form
- Approval of sabbatical or leave from Academic Department
- Funding Confirmation
Faculty Research Appointment Form

(Click on the form below to open the fillable PDF)

Date [ ]

Faculty Research Appointment

Fall Semester = July 1st through December 31st
Spring Semester = January 1st through June 30th

Supplement Period [ ]

Academic Year(s) [ ]

Name [ ]

Title [ ]

Employee ID [ ]

Academic Department [ ]

Annual Salary: [ ]

Monthly 1/12 Rate: [ ]

Brief Description of Research:

Percentage of research supplement [ ]

Check to verify that copy of Academic Department Approval of Leave/Sabbatical is attached

Name of Fund [ ]

Complete Chartstring [ ]

HR Preparer: [ ]

<table>
<thead>
<tr>
<th>Name</th>
<th>Signature</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Requestor</td>
<td></td>
<td></td>
</tr>
<tr>
<td>RSO</td>
<td></td>
<td></td>
</tr>
<tr>
<td>ADR Approval</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

*************HR USE ONLY*************

HCM Entered By: [ ]

HCM Entry Date: [ ]
## Faculty Research Appointment Process

<table>
<thead>
<tr>
<th>Step</th>
<th>Owner</th>
<th>Process</th>
</tr>
</thead>
</table>
| 1    | Host Faculty               | • Takes a sabbatical or decides they’d like to reduce their teaching appointment to devote more time to research.  
     |                             | • Gets leave approved by Academic Department (academic department will send notice to HR Operations HR Manager and ERSO Academic HR Analyst when faculty appointment reduction is approved)  
     |                             | • Contacts HR Administrator to get Faculty Research Appointment approved |
| 2    | HR Administrator           | • Gets all the necessary information and completes Faculty Research Appointment Form  
     |                             | • Obtains all the needed signatures on the form  
     |                             | • Submits required documentation to ERSO Academic HR Assistant (193 M Cory Hall) |
| 3    | ERSO Academic HR Asst     | • Ensures all the necessary documents were submitted with case  
     |                             | • Routes case to ERSO Academic HR Analyst |
| 4    | ERSO Academic HR Analyst  | • Gives final review of case and obtains approval from Associate Dean for Research  
     |                             | • Once approved, routes case back to HR Administrator |
Research Recall

A Research Recall appointment is for retired academic appointees who return to active service to perform research. The appointment period for this title is July 1st through June 30th.

The salary for the academic appointee is determined by their base salary upon retirement, range adjusted forward. Additional compensation earned prior to retirement, including stipends, negotiated salary components, and summer salary is not to be factored into the salary rate for these appointments. The annual base salary, range adjusted forward, is divided by 9 to arrive at the monthly rate (9 over 9).

Compensation for recall appointments may not exceed 43% time each month.

Recalls aren’t eligible for merit increases. However, they are entitled to range adjustments.

The DOS code for this appointment type is REG. Although, the Research Recall title isn’t eligible for summer salary, the DOS code should change to ACR in the summer months.

A recall appointment can’t occur until 30 days following the academic appointee’s retirement date. All retiree’s should receive the “Returning to UC Employment after Retirement” Fact Sheet and they must all sign a UCRP Waiver prior to being rehired.

REQUIRED DOCUMENTS:

- Research Recall Check sheet
- Research Recall Appointment Request Form
- Annual Supplement to the Bio-Bibliography for last fiscal year
- Copy of UCRP Waiver (for new appointments only)
- Biography (for new appointments only)
- Fairness Safeguard Statement
- Funding Confirmation
- Explanation of lateness if applicable
Research Recall Check Sheet

(Click on the form below to open the fillable PDF)

College of Engineering

Post Retirement Appointment (Recall): Research

(See ARM 206-22) The University may recall to active service, on a year to year basis, academic appointees who have retired, provided such appointments are not in conflict with the terms of the University of California Retirement Plan and/or University policy.

These appointments are limited to 480 or less and appointments will only be made for a period of one year or less at a time. Appointment requests in this title can't be made until at least 30 days after the date of retirement.

☐ New Appointment  ☐ Reappointment

Date Prepared: __________________________  Prepared by: __________________________

Name: __________________________  Department: __________________________

Proposed Title: __________________________  Salary: __________________________  Step: __________________________  Percentage: __________________________  Effective Date: __________________________

Previous Position: __________________________  Salary: __________________________  Step: __________________________  Percentage at time of retirement: __________________________  End Date: __________________________

CHECK LIST: (Each item should be checked)

☐ Chair’s recommendation to the Associate Dean for Research, with concurrence of OHR Director (when applicable) which includes:
  ☐ Recall Justification as follows:
    ☐ Description of Research
    ☐ Appointment dates
    ☐ Monthly Salary
    ☐ Percent of Time
    ☐ Funding Source
    ☐ Space and support Requirements
    ☐ Fairness Safeguard Certification Statement
    ☐ Supervision of students (if any)

☐ UCRP Waiver from - for new appointments only - 1 copy (Original waiver goes to OHR Benefits Office)

☐ Current Biography (For new appointments only. Do not send for reappointment)

☐ Bibliography supplement for the last fiscal year

☐ Explanation of Lateness (if applicable)
Research Recall Appointment Form

Research Recall Appointments are paid at the 1/9 rate and cannot exceed 43% time.

<table>
<thead>
<tr>
<th>Name:</th>
<th>Date:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Employee ID:</td>
<td>Academic Department:</td>
</tr>
<tr>
<td>Appointment Dates: Normally 07/01-06/30</td>
<td>Percent Time:</td>
</tr>
</tbody>
</table>

Brief description of research and supervision of students (if any):

☐ I have been informed of the recall appointment process and my rights in connection with this procedure.
☐ I have enclosed my bibliography supplement from the last fiscal year
☐ I have enclosed the original UCRP Waiver form - New appointments only
☐ I have enclosed my current biography - New appointments only

Name of Fund: Complete Chartstring:
Workspace Location:

<table>
<thead>
<tr>
<th>Requestor</th>
<th>Name</th>
<th>Signature</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Department Chair</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>RSO/Fund Manager</td>
<td></td>
<td></td>
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<tr>
<td>ADR Approval</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

************HR USE ONLY************
Annual Salary 1/12 Rate: ER50 Case Number:
HCM Entered By: HCM Entry Date
## Research Recall Appointment Process

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<th>Step</th>
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</thead>
<tbody>
<tr>
<td>1</td>
<td>Requestor</td>
<td>• Determines they would like a Research Recall appointment and contacts HR Administrator</td>
</tr>
</tbody>
</table>
| 2    | HR Administrator             | • Sends the “Research Recall Appointment Form” to Requestor  
• Gathers the necessary documents for Research Recall Appointment:  
  ▪ Research Recall Check Sheet  
  ▪ Completed and signed Form  
  ▪ Current Biography (for new appointments only)  
  ▪ Annual supplement to the Bio-Bibliography for last fiscal year  
  ▪ Copy of UCRP Waiver (for new appointments only)  
  ▪ Funding confirmation  
  
  • Sends the completed case to ERSO Academic HR Assistant (193 M Cory Hall) |
| 3    | ERSO Academic HR Asst       | • Ensures all the necessary documents were submitted  
• Routes case to ERSO Academic HR Analyst |
| 4    | ERSO Academic HR Analyst    | • Reviews documents, determines case can be approved as submitted  
• Obtains Associate Dean for Research’s approval on request  
• Routes approved case back to HR Administrator |
Exceptional PI Status

Exceptional PI requests are normally limited to a specific project. In extremely rare and meritorious cases, exceptions may be granted to an individual on a continuing basis. Continuing status, once approved, remains in effect until revoked by the requesting department or unit.

Approval of an exception requires demonstration that the proposed project is sufficiently important to the achievement of the educational, research or public service goals of the submitting unit and of the University. The support of graduate students in the conduct of their research, and/or the participation of undergraduate students in the research project, should be a component of the project for which the exception is being requested.

Individuals recommended for Principal Investigator status on a research project must possess qualifications which satisfy the general standards for research competence appropriate to the professorial rank and step comparable to the non-Senate academic appointment held by the candidate.

REQUIRED DOCUMENTS:

- Memo or Visiting Researcher Appointment Request Form
- CV (with publications list if applicable)
- Funding Confirmation
# Exceptional/Co-PI Process

<table>
<thead>
<tr>
<th>Step</th>
<th>Owner</th>
<th>Process</th>
</tr>
</thead>
</table>
| 1    | Requestor | • Determines they would like to hire an academic non-employee for a project  
     |     | • Sends job description  
     |     | • Gathers the necessary documents for Exceptional PI approval:  
     |     |   ▪ Written request with full justification addressing the policy criteria above  
     |     |   ▪ Current CV  
     |     |   ▪ One page abstract describing research project  
     |     |   ▪ A Proposal Review Form with appropriate signatures  
     |     |   ▪ A budget and budget justification  
     |     | • Submits the necessary documents to ERSO Academic HR Analyst (181 M Cory Hall or via email) |
| 2    | ERSO Academic HR Analyst | • Reviews documents, determines case can move forward as submitted  
     |     | • Obtains Associate Dean for Research’s concurrence on request  
     |     | • Sends case to Vice Chancellor’s Office for Research (VCRO) for approval |
| 3    | VCRO | • Vice Chancellor’s Office reviews the case  
     |     | • Case is approved in approximately two weeks  
     |     | • Once approved, request is forwarded back to ERSO HR Academic Analyst |
| 4    | ERSO Academic HR Analyst | • Notifies requestor, exceptional PI and/or Lead PI & RSO of approval  
     |     | • Submits copy of approval to HR Operations for file retention |