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ARTICLE __ SPECIALIST SERIES

A. DEFINITION

Titles in the Specialist series are assigned to those appointees who are engaged in specialized research, professional activity, and University and/or public service and who do not have any formal teaching responsibilities. Specialists are expected to use their professional expertise to make scientific and scholarly contributions to the research enterprise of the University and to achieve recognition in the professional and scientific community. Specialists may participate in University and/or public service depending upon funding source and the duties required by the job description for the position.

~~Most Specialist appointments are made to provide research projects with special skills, experience, and knowledge. A Specialist provides considerable independent input into the planning and execution of research; however, the Specialist generally works under the direction of an appointee in the Professional Research or Professorial series. Individuals may be appointed in the Specialist Series to positions in which conducting research is not the principal responsibility, and in which they provide specialized skills in support of research. The Specialist may work without immediate supervision, but not independently. The Specialist provides a service to a supervisor, a group, or the institution.~~

~~The Specialist series, the Specialist in the Agricultural Experiment Station, and the Specialist in the Scripps Institution of Oceanography are the same title series, differing in their source of funding. Specialists in the Agricultural Experiment Station must follow the guidelines for appointments in the Agricultural Experiment Station.~~

B. RANKS AND STEPS

1. General Conditions

a. The following ranks and steps apply to the Specialist series:

- i Junior Specialist, Step I-II – Appointees to the Junior rank should possess a baccalaureate degree (or equivalent degree) or equivalent research experience.
- ii. Assistant Specialist, Step I-III – Appointees to the Assistant rank

should possess a master's degree (or equivalent degree), **two years as a junior specialist**, or **two**-five years of experience demonstrating expertise in the relevant specialization.

iii. Associate Specialist, Step I-IV – Appointees to the Associate rank should possess a master's degree (or equivalent degree) or five to ten years of experience demonstrating expertise in the relevant specialization. Associate Specialists are normally expected to have a record of academic accomplishments, including contributions to published or in-press research in the field and a demonstrated record of University and/or public service.

iv. Specialist (for purposes of this Article, referred to as "Full"), Step I-IX – Appointees to the Full rank should possess a terminal degree (or equivalent degree) or ten or more years of experience demonstrating expertise in the relevant specialization. Specialists at full rank are normally expected to have a significant record of academic accomplishments, including contributions to published or in-press research in the field, professional recognition in the field, and a demonstrated record of University and/or public service

b. **A Specialist shall be appointed to at least the rank and pay step for which they are most qualified based on their academic qualifications, experience, and accomplishments.**

A Specialist with a Ph.D. (or equivalent) shall be initially appointed, at a minimum, to a pay rate commensurate with their prior experience:

- 1. An appointee with 0 - 23 months post-Ph.D. (or equivalent) research experience shall be appointed to at least the Associate Specialist Step II pay rate.**
- 2. An appointee with 24 - 59 months post-Ph.D. (or equivalent) research experience shall be appointed to at least the Associate Specialist Step III pay rate.**
- 3. An appointee with 60 or more months post-Ph.D. (or equivalent) research experience shall be appointed to at least the Full Specialist Step I pay rate.**

c. At the Davis campus ~~only~~, each step has a corresponding half-step (e.g., Assistant Specialist Step I, I.5, II, II.5, etc.), beginning with the Assistant rank and above. Provisions in this section pertaining to normative time at each step and to overlapping steps also apply to the applicable half-steps at the Davis campus.

d. Junior Specialists are **normally** appointed for terms **of not to exceed** one year, and may be reappointed for a maximum of one second full year. An additional reappointment for up to a third full year may be requested by a PI

and is subject to review and approval by the relevant Dean or appropriate designee. No Junior Specialist will be appointed at this rank for more than three (3) years.

- e. **A Specialist with an off-scale salary rate is considered to be at the pay step closest to their salary rate for the purposes of this article.**
- f. **Nothing in this shall preclude the University from providing a Specialist compensation above minimums required by this agreement.**

2. Normative Time at Each Step

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

A Specialist with an effective date of appointment in the period July 1 through January 1 will receive service credit for one year at rank and step. A Specialist with an effective date of appointment in the period January 2 through June 30 will not receive service credit for that year.

C. TERM OF APPOINTMENT

- 1. An appointment in the Specialist series shall **normally** have a specified ending date and appointment percentage. **An appointment to Full Specialist Step IX may be for an indefinite duration, and the appointment shall terminate on the specified ending date without any further action.**
- 2. **A Specialist appointment will normally be a 100%, full-time appointment. Upon written request of the appointee and written concurrence of the supervisor, the University may grant an exception to the full time appointment expectation when the appointee is unable to make a full-time commitment for reasons of health, family responsibilities, or employment external to the University. Such a request must take into account extramural funding agency requirements, if any. An exception to full time may be granted for a range of one month to up to the end of _____ the _____ appointment.**
- 3. **When the University reduces an appointment as described in §B.2., above, the supervisor and Specialist shall sign a written agreement specifying the reduction in _____ hours of work and concomitant responsibilities.**
- 4. **When a Specialist simultaneously holds a University teaching appointment or other University position, the percent time of the Specialist appointment normally will be reduced so that the sum of the percent times of the two appointments equals _____ one-hundred _____ percent (100%).**

5. A Specialist shall be appointed or reappointed, at a minimum, for a duration equal to the normative time of their pay step. The end date of a Specialist appointment will normally coincide with June 30, and a Specialist reappointment will normally coincide with July 1.

7. The University may, upon review, decide not to renew an Assistant Specialist, Associate Specialist, or Full Specialist appointment when the programmatic needs of the department or unit, lack of work, the availability of suitable funding for the position, or the appointee's conduct or performance do not justify renewal of the appointment.
 - a. The University shall provide a written Notice of Intent not to reappoint an Academic Researcher at least sixty (60) days prior to the appointment's specified ending date. Either the appointment shall be extended to provide the required notice, or appropriate pay in lieu of notice shall be given. The University shall provide a simultaneous copy to the Union. The Notice shall state:
 - i. the intended action is not to reappoint the appointee and the proposed effective date;
 - ii. the basis for non-reappointment, including a copy of any materials supporting the decision not to reappoint;
 - iii. the appointee's right to respond either orally or in writing within fourteen (14) calendar days of the date of issuance of the written Notice of Intent; and
 - iv. the name of the person to whom the appointee should respond.
 - b. The Academic Researcher who receives a written Notice of Intent shall be entitled to respond, either orally or in writing, within fourteen (14) calendar days of the date of issuance of the written Notice of Intent. The response, if any, shall be reviewed by the administration.

8. If the University decides not to reappoint an Academic Researcher who holds a term appointment, following the review of a timely response, if any, from the Academic Researcher, and within thirty (30) calendar days of the date of issuance of the written Notice of Intent, the University shall issue a written Notice of Action to the Academic Researcher and the Union of the non-reappointment and its effective date.

9. Assistant, Associate, or Full Specialists may have Principal Investigator status with campus approval. Campuses shall maintain and make available guidelines and procedures for approving PI status.

D. MERIT AND PROMOTION REVIEW PROCESS

1. General Conditions

- a. When Specialists are eligible for merit increases and promotions, such increases and promotions are based on academic attainment, experience, and performance, and are not automatic.

- b. The effective date of merit increases and promotions as a result of the review process will **normally**—be **no later than** July 1.
- c. **A Specialist at any pay step less than Full Specialist Step IX shall receive a merit increase of at least one (1) full pay-step, or promotion to the next rank, upon reaching the end of normative time at their current pay step. A Specialist may receive a greater than one full pay-step merit increase or promotion based upon their review.**
- d. **Specialists eligible for review and/or reappointment shall receive written notification no later than August 1 of the fiscal year (which runs July 1 - June 30) in which they are eligible. This notification shall include:**
 - 1. **A list of materials the Specialist is responsible for providing and how they should be submitted;**
 - 2. **The date by which the Specialist must submit all required materials;**
 - 3. **A statement that merit increases, promotions, and/or reappointments are effective no later than July 1;**
 - 4. **Links to the applicable collective bargaining agreement article(s) and campus guidelines and procedures for merits and promotions;**
 - 5. **A statement that a Specialist may request relevant department (or other applicable hiring unit) policies, and;**
 - 6. **A statement that the Specialist may contact the campus Academic Personnel Office, their Department Chair, or Chair's Designee if they have questions about the review process.**
- e. **An Academic Researcher may request an extension of review deadlines due to leave of absence taken under Article - Leaves of Absence or Article - Work-Incurred Injury or Illness. Such requests shall not be unreasonably denied.**
- f. Consistent with this Agreement, decisions to grant or not grant a merit increase or promotion to individual Specialists are **made by the at the sole discretion of the** University. In the event a Specialist is not awarded a merit increase or promotion following a review, the University shall include an explanation for its decision that shall accompany the review determination.
- g. **A Specialist may request to view their Personnel Review File in accordance with the APM. A Specialist may send such requests to the campus Academic Personnel Office.**
- h. **To promote transitions to independent research, a Specialist shall receive a search exemption for an appointment in the Professional Researcher series if qualified and/or 50% or more of the funding for their position comes from sources on which the Specialist is PI or co-PI.**

A Specialist shall receive a search exemption for an appointment in the Project Scientist or Coordinator of Public Programs series provided the appointment is in the same lab/unit or equivalent.

In all cases, the new appointment shall be at a pay rate no less than one

pay step above the Specialist's current pay step.

2. Review Period
 - a. Junior Specialists do not undergo merit review.
 - b. Assistant and Associate Specialists shall be reviewed every two years.
 - c. Full Specialists shall be reviewed every three years, except for Step IX, which shall be reviewed every four years.
 - d. **A Specialist may be reviewed early for the purpose of accelerated advancement. If a Specialist receives an accelerated merit increase or promotion of at least one (1) pay-step, then they shall also receive a reappointment with start date coinciding with the effective date of the merit increase or promotion.**
 - e. **Upon written request, a Specialist may request to defer their review for reasons of their own serious illness or injury, or that of a family member, in accordance with local procedures.** However, every Specialist must be reviewed at least every five years.
3. Evaluation Criteria
 - a. A candidate for advancement in the Specialist series is evaluated on such criteria as level of expertise and ability to work independently, professional competence, the complexity of the research responsibilities, the potential for intellectual/scientific contributions to the field, the scope of professional activities, and University and public service.
 - b. A candidate for merit increase or promotion in this series shall be evaluated on the basis of the following criteria:
 - i. Performance in Research - Specialists must be continuously and effectively engaged in research activity of scholarly quality and significance in the defined area of expertise and specialization. All Specialists are judged on performance in research. Evidence may include one or more of the following:
 - 1) Letters from collaborators or principal investigators documenting that work performed by the Specialist contributed to published research;
 - 2) Recognized expertise, including formal documentation of intellectual effort, presentation of research at regional/national

meetings, creative contributions to intellectual property (e.g., patents), eligibility to serve as principal investigator, and/or invitations to participate in research projects;

- 3) Documentation of effective planning and execution of research projects;
 - 4) Publications on which the Specialist is an author or that credit the Specialist in the acknowledgement section of the work; and
 - 5) Active dissemination of information through training, presentations, or other means stemming from the Specialist's research.
- ii. Professional Competence and Activity - Specialists may engage in professional activities that are directly related to their professional expertise and achievement. The Specialist's professional activities will be evaluated for evidence of achievement and recognition in the Specialist's field of expertise and for contributions to the development or utilization of new approaches and techniques. Evidence of professional competence and activity, which is optional for Junior and Assistant Specialists but required for Associate and full Specialists, may include:
- 1) Participation in professional societies or groups and other educational and research organizations;
 - 2) Service on advisory panels;
 - 3) Invitations to review research and/or grant proposals;
 - 4) Review of journal manuscripts and other publications related to the Specialist's area of expertise; and
 - 5) Additional education and credentials as related to the specialized area of research.
- III. University and Public Service - Specialists may engage in University and/or public service provided these services comply with the requirements of the candidate's funding source. Such service should be related to the candidate's area of professional expertise and achievement. Service activities may be at the level of the department, the organized research unit (ORU), the college/school/division, the campus, the University, and/or the public. For example, Specialists

may serve as a liaison with and respond to the needs of various industry organizations, state and federal agencies, and other external groups on issues related to their area of expertise. At the Junior and Assistant Specialist ranks, University and/or public service may be minimal.

c. Advancement to Above-Scale

i. Advancement to Above-Scale status involves an overall career review and is reserved for only the most highly distinguished Specialists whose:

- 1) work of sustained and continuing excellence has attained national and international recognition and broad acclaim reflective of its significant impact;
- 2) professional achievement is outstanding; and
- 3) service is highly meritorious.

ii. Advancement requires demonstration of additional merit and distinction beyond the performance on which advancement to Full, Step IX was based. Except in rare and compelling cases, advancement will not occur in less than four years at Step IX; mere length of service and continued performance at Step IX is not justification for further advancement.

iii. A further merit increase for an individual already serving at Above-Scale salary level must be justified by new evidence of distinguished achievement; continued performance is not an adequate justification. Only in the most superior cases with strong and compelling evidence will a further increase be approved at an interval shorter than four years.

4. Merit and Promotion Guidelines and Procedures

a. The UAW shall be provided the applicable campus merit and promotion guidelines and procedures as they exist or as they are developed.

b. **The University shall maintain comprehensive and complete merit and promotion guidelines and procedures for each campus, including applicable timelines. Links to current campus guidelines and procedures may be found in Appendix of this agreement.**

c. **Each campus shall produce and provide to the Union by August 31 of each**

year a report including the outcome of each Specialist review. This report shall include the following information:

- i. **the individual's name, department, job title, pay step, supervisor, and employee ID;**
 - ii. **the recommended action of each individual or committee in the review process, and;**
 - iii. **the final determination.**
- d. The University may change campus merit and promotion guidelines and procedures according to the normal campus processes for revising such guidelines and procedures.
- i. The University shall provide to the UAW proposed changes to campus merit and promotion guidelines and procedures at least thirty (30) calendar days prior to finalization. The University will begin to apply changed guidelines and procedures to individual **SpecialistProject Scientists** only with the beginning of the **SpecialistProject Scientists's** merit review cycle. **The University shall meet and confer over the effects of proposed changes upon request of the UAW.**

E. ANNUAL ASSESSMENTS AND PROGRESS REPORTS

1. **This section applies to Specialists at the Junior, Assistant or Associate rank.**
2. **Within a reasonable time after the beginning of the initial appointment and annually thereafter, the supervisor, or in limited circumstances their appropriate academic designee, shall communicate the expectations they have for the Specialist's research.**
3. **The supervisor shall provide the Academic Researcher with at least one written evaluation per 12-month period. This Annual Evaluation is a comprehensive assessment of the Specialist's research progress and achievements. The supervisor may utilize an independently developed or a pre-established form when conducting the Annual Evaluation.**

E. ~~GRIEVABILITY AND ARBITRABILITY~~

~~Academic judgment is not subject to grievance or arbitral review. As such, an arbitrator shall not have the authority to substitute their judgment for the University's judgment regarding the Specialist's performance or qualification, nor shall the arbitrator have the authority to order the University to provide a merit increase or promotion. If the arbitrator finds a procedural violation, the arbitrator's authority shall be limited solely to ordering the University to repeat the review from the point at which the violation occurred.~~