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I. **Definition**

The Specialist series is used for academic appointees who assist in research in specialized areas and who do not have any teaching responsibilities. See APM – 330 for systemwide policy on Specialists.

II. **Ranks and Steps**

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

III. **Appointment Criteria**

Specialist appointments may be made to provide research projects with special skills, experience, and knowledge. At the Junior and Assistant levels, the appointee enables research as part of a team. At the Associate and full level, the appointee provides considerable independent input into the planning and execution of research.

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

1. Performance in research in specialized areas
2. Professional competence and activity
3. University and public service

IV. **Term of Appointment**

A. There are no limits on service at any level in this series.
B. Appointments may be made for up to one year at a time.

V. **Compensation**

A. Individuals appointed to this series are compensated on the salary scales established for the Specialist series on a fiscal year basis.
B. Off-scale salaries are not allowable in the Specialist series.
C. Salaries are subject to range adjustments.
D. Each source that provides compensation for service in this series must permit research.
VI. **Advancement**

A. **Appointment**

Appointment cases may be prepared using the Specialist appointment checklist in this toolkit. Particular attention should be paid to the analytical evaluation of the candidate and the candidate’s accomplishments.

B. **Advancement**

Advancement cases may be prepared using the Specialist advancement checklist in this toolkit. All advancement cases are based on the individual’s achievements and the availability of funding. Normal advancement will occur after one year at step at the Junior level, two years at step at the Assistant and Associate level, and after three years at the full Specialist level. Merits are based on the academic record since the time of the last review while promotions are based on the career academic record. Any advancement requested prior to that time is considered an acceleration.

C. **Chair/Director Letters of Recommendation**

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

D. **External Evaluation**

External letters of evaluation may be required for some advancements. Campus policy should be consulted.
<table>
<thead>
<tr>
<th>Position Type</th>
<th>Junior, Assistant, Associate, and Full Specialist</th>
<th>Staff Research Associate I-V</th>
</tr>
</thead>
<tbody>
<tr>
<td>Union Representation</td>
<td>Academic</td>
<td>Staff</td>
</tr>
<tr>
<td>No</td>
<td>Yes, Research Support Staff (RX) - UPTE</td>
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<tr>
<td>Responsibilities</td>
<td>Research in specialized areas, professional activities, and University and public service. Expected to make substantive scientific, scholarly, and intellectual contributions to the research enterprise and to attain stature in the professional and scientific community. Contribute specialized knowledge and expertise in the planning and execution of research projects. Eligible to be a principal investigator on research grants.</td>
<td>Perform or supervise lab or field experimental procedures in support of supervised research. Participate in research activities at varying levels of difficulty/responsibility, however, are not eligible to serve as principal investigators. May participate, but are not assigned final responsibility for determining the nature and course of investigation, general methodological approaches, nor the scientific validity of research results.</td>
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<tr>
<td>Supervised by</td>
<td>Academic supervisor</td>
<td>Academic or staff supervisor</td>
</tr>
<tr>
<td>Initiating Recruitment (this process may vary by campus)</td>
<td>Academic hiring supervisor submits to department/divisional academic personnel coordinator request with draft posting, including outline of responsibilities, nature of research, qualifications, rank and terms of appointment.</td>
<td>Approved by staff human resources upon review of detailed job description, percentages of time, and qualifications.</td>
</tr>
<tr>
<td>Classification</td>
<td>Approved by dean (or other administrator as designated by the campus) upon review of responsibilities, intellectual/scientific contributions to the field, and qualifications. Academic appointees do not have pre-specified, detailed job descriptions as duties and percentages of effort change over time depending on the course and results of the research.</td>
<td>Approved by staff human resources upon review of detailed job description, percentages of time, and qualifications.</td>
</tr>
<tr>
<td>Criteria for Appointment</td>
<td>Performance in research in specialized area, professional competence and scope of professional activities, and University and public service. Bachelor’s or advanced degree frequently required.</td>
<td>Meets minimum qualifications of the position as reflected in the job description.</td>
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</table>
### ACADEMIC SPECIALIST/STAFF RESEARCH ASSOCIATE COMPARISON

<table>
<thead>
<tr>
<th>Hiring/Appointment Process</th>
<th>Junior, Assistant, Associate, and Full Specialist</th>
<th>Staff Research Associate I-V</th>
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<tbody>
<tr>
<td>At the conclusion of the recruitment, interviews, and selection, the principal investigator/director/department chair compiles appointment dossier including candidate's CV, funding information, and a letter of justification which recommends rank and step and briefly outlines responsibilities and nature of research, along with supporting letters of recommendation for designated ranks. Dean (or other administrator as designated by the campus) reviews the recruitment documentation and dossier, and issues appointment letter outlining the terms and conditions of appointment, including rank, step, and end date of appointment.</td>
<td>At the conclusion of recruitment, interviews, and selection, hiring supervisor requests staff human resources to extend an offer of employment. Normally hired at step 1 of the recruited classification. Above-step hire may be considered in certain circumstances, e.g. there has been difficulty attracting qualified applicants for the position, candidate's current salary is above step 1, etc.; requires dean's approval.</td>
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<tr>
<th>Option for Without Salary Apptmt</th>
<th>Yes</th>
<th>No</th>
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</thead>
</table>

### Security of Employment

<table>
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<tr>
<th>Junior, Assistant, Associate, and Full Specialist</th>
<th>Staff Research Associate I-V</th>
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<tbody>
<tr>
<td>Appointments are temporary with a specified ending date of normally one to three years. Reappointment is dependent on availability of funding and a positive review based on professional competence and activity, including the value and impact of the individual's contributions to the field, their advancement of knowledge in the discipline, and their University and public service as judged by other academics and scientists through a process of peer review. May be released prior to the end date due to poor performance only after taking appropriate corrective action.</td>
<td>Employees in career positions are considered permanent and may be released due to poor performance only after taking appropriate corrective action.</td>
</tr>
<tr>
<td>Merit Increase</td>
<td>Junior, Assistant, Associate, and Full Specialist</td>
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<td>----------------</td>
<td>-----------------------------------------------</td>
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<tr>
<td>Salary increase within rank normally awarded at time of reappointment or on July 1, dependent on campus policy. Advances occur every one to three years depending on title, rank and step of the position (see academic salary scales for normal number of years at rank and step). Step increases are typically 5-10%. Requires merit/promotion dossier, including updated CV and letter from PI or department describing individual’s professional competence and activity, including value and impact of contributions to their area of research, advancement of knowledge in the discipline, and their University and public service as judged by other academics and scientists through the peer review process. External letters of recommendation, department votes, Academic Senate review, and/or copies of publications required at some levels. Salary recommended by PI or department based on accomplishments and funding availability. Authority to approve merits depends on rank/step and may rest with the dean or executive vice chancellor and provost.</td>
<td>Salary increase within classification based on an annual performance evaluation and the outcome of collective bargaining. Merits are generally effective on October 1 of each year. Eligibility criteria generally include: must be in a career position, completed a probationary period, and received an overall rating of &quot;satisfactory&quot; or better on their last performance evaluation. Annual appraisals assess performance-based competencies, e.g. job knowledge, quality of work, productivity, flexibility, initiative, problem-solving, teamwork, dependability, and interpersonal skills.</td>
</tr>
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</table>

<p>| Promotion/Reclass | Promotion is a change in rank normally awarded at time of reappointment (one to three years depending on title, rank and step; see academic salary scales for normal number of years at rank and step). Promotions typically represent a 5-10% salary increase. Requires a promotion/reappointment dossier including updated CV and letter form PI or department describing individual's professional competence and activity, including value and impact of individual's contributions to their area of research, advancement of knowledge in the discipline, and their University and public service as judged by other academics and scientists through a peer review process. External letters of recommendation, department votes, Academic Senate review, and/or copies of publications may be required at some levels. Salary recommended by PI/department based on accomplishments and funding availability. Authority to approve promotions depends on rank/step, resting with dean, evcp, or chancellor or other administrator as designated by the campus. | Promotion for a staff employee is the change via open recruitment to another position which has a higher salary range maximum than the employee's current position. An upward reclass is a change in classification resulting when an employee assumes higher-level responsibilities while retaining some of the duties of their current position. A revised job description is required and the classification decision is made by staff human resources. The normal salary increase upon reclass is approximately 5-6% or to the minimum of the salary range of the new classification, whichever is greater. Union notification is required. |</p>
<table>
<thead>
<tr>
<th></th>
<th>Junior, Assistant, Associate, and Full Specialist</th>
<th>Staff Research Associate I-V</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Other Salary Increases</strong></td>
<td>Salary advancements to address retention, equity, etc. are dependent on campus policy.</td>
<td>Other within classification staff increases: Stipend - increase provided when employee is temporarily assigned new duties. Equity increase - increase provided when new duties assigned permanently but reclass to higher classification not appropriate, or to address an equity or retention situation. The normal salary increase for a stipend or equity is 5-6%.</td>
</tr>
<tr>
<td><strong>Eligibility for Health and Welfare Benefits</strong></td>
<td>Same as SRA</td>
<td>Eligible for UC benefits (full, mid-level, core, or no benefits) depending on length and % time of appointment. Must be at least 43.75% time to receive any level of benefits. Employees appointed at least 50% for 12 months or more or who attain 1000 hours on pay status within a 12-month period are automatically enrolled in the UC Retirement Program and are eligible for full benefits.</td>
</tr>
<tr>
<td><strong>Vacation</strong></td>
<td>Eligible to accrue if appointed for at least 6 months at 50% time or more. Accrue 16 hours per month if full-time regardless of length of service. Not eligible to accrue if drop below 50% time. Upon separation or transfer to a position that does not accrue vacation, employee is paid for any unused vacation.</td>
<td>Eligible to accrue if appointed for at least 6 months at 50% time or more. Accrue 10 hours per month if full-time and has less than 10 years of service. Accrual rate increases incrementally to a maximum rate of 16 hours per month after 20 years of service. After meeting eligibility criteria, part-time employees accrue proportionately even if they drop below 50% time. Upon separation or transfer to a position that does not accrue vacation, employee is paid for any unused vacation.</td>
</tr>
<tr>
<td><strong>Sick leave</strong></td>
<td>Same as SRA</td>
<td>Eligible to accrue if appointed 50% time or more. Full-time appointees accrue 8 hours per month. Part-time employees appointed at least 50% accrue proportionate to their percent time.</td>
</tr>
<tr>
<td><strong>FLSA Exemption Status</strong></td>
<td>Exempt</td>
<td>Non-exempt</td>
</tr>
<tr>
<td>Probationary Period</td>
<td>Junior, Assistant, Associate, and Full Specialist</td>
<td>Staff Research Associate I-V</td>
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<tr>
<td>Serve six months probation during which time may be released at sole discretion of the University. May receive up to six months credit toward completion of probationary period for time served in same or similar job on a temporary basis. Probationary period may be extended for up to three months.</td>
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| Layoff Provisions | Appointees who are laid off or involuntarily reduced in time have preferential rehire and recall rights for a period of not more than one year. Severance pay is not an option. | Employees in career positions who are laid off or involuntarily reduced in time have preference for rehire and recall rights for a period of one to three years depending on their length of service. Employees may opt for severance pay in lieu of preferential rehire/recall or a combination of severance pay and preferential rehire/recall |
Specialist Position Description Template

______ Specialist (insert specific rank and step)

Nature and Purpose

Brief paragraph describing scope of position and expectations for the individual fulfilling the role.

Major Responsibilities

1) Research (___% Effort)

Description of research activities related to experimental work, analysis, publication and grant acquisition, and research support

2) Professional Competence and Activity (___% Effort)

Description of professional activities related to materials for and participation in meetings, seminars, professional/technical societies, other research and educational organizations, plus review of proposals, manuscripts, and publications

3) University and Public Service (___% Effort)

Description of service activities related to liaison responsibilities with various organizations

Qualifications

Description of specific education and experience required to perform the duties of the position.
Specialist Series Appointment Checklist (all levels)

NAME: ______________________________ UNIT: ____________________________

PROPOSED: ___________________________ (Title, Step, %) SALARY: ______________

CURRENT: ___________________________ (Title, Step, %) SALARY: ______________

EFFECTIVE: __________________________ (Begin and end dates)

CHECKLIST

______  Director’s recommendation or concurrence

______  Principal Investigator’s/Supervisor’s recommendation
       Recommendation should include:
       ______  1. Qualifications of the candidate
       ______  2. Evaluation of research activity, contributions to faculty research,
                publications, and professional competence and activities
       ______  3. Evaluation of special honors and awards received, if any
       ______  4. Explanation for urgency or lateness of case

______  Updated Curriculum Vitae

______  Recruitment Documentation (search or waiver)

       ______  Search Summary
       Summary must be separate from PI’s/Director’s recommendation and Include:
       ______  a. description of activities to ensure consideration of minority
                and women applicants
       ______  b. bona fide list of applicants
       ______  c. explanation of the deselection of minority or women
                applicants
       ______  d. discussion comparing relative qualifications of finalists
       ______  e. discussion of consideration given to minority or women
                applicants presently holding related positions on campus. If
                none, how was position advertised on campus?
       ______  f. copy of published advertisement

UNIT CONTACT: _____________________ (Name) _____________________ (Phone)

UCOP Academic Personnel – 2/23/2012
Specialist Series Promotion Checklist (all levels)

NAME: ______________________________  UNIT: ______________________________

PROPOSED: ____________________________ (Title, Step, %)  SALARY: ______________

CURRENT: _____________________________ (Title, Step, %)  SALARY: ______________

EFFECTIVE DATE: ______________________  LAST ADVANCEMENT DATE: ___________

CHECKLIST

_____ Director’s recommendation or concurrence

_____ Principal Investigator’s/Supervisor’s recommendation
   Recommendation should include:
   _____ 1. Qualifications of the candidate
   _____ 2. Evaluation of research activity, contributions to faculty research, publications, and professional competence and activities
   _____ 3. Evaluation of University and public service
   _____ 4. Evaluation of special honors and awards received, if any
   _____ 5. If acceleration is recommended, state justification

_____ Candidate’s Contribution
   _____ Standardized Curriculum Vitae
   _____ Supplementary Report, if any
   _____ Optional written statement

_____ Explanation of urgency/lateness of case

UNIT CONTACT: _______________________ (Name) _______________________ (Phone)