Committee on Research
Janet Myers, PhD, MPH, Chair

Monday, October 20, 2014
10:00am-12:00pm
Room CL-215 & 216
GoogleHangout: ucsfacademicsenate@gmail.com

AGENDA

1. Chair’s Announcements
   a. $500K Discussion – potential ideas for use
   b. Office of Sponsored Research Advisory Board member sought
      i. Open discussion of pre-award issues

2. Senate Announcements
   a. Faculty Research Lecture: Clinical Science – James Barkovich, November 5, 3:30-5pm, Cole Hall
   b. Space Planning & Projects Town Hall – November 5, 3-4pm (and recorded for future viewing) HSW 302

3. Approval of September 2014 Minutes (Attachment 1)

4. Update on Space Planning – Lori Yamauchi, Associate Vice Chancellor, Campus Planning

5. Discussion of Proposed Revisions/Expansion of APM – 330 Specialist category (Attachment 2)
   a. General Inquiries to COR members:
      i. How do your respective departments use Specialists?
      ii. Is there a financial repercussion to potential reclassifications or promotions of Specialists – based on these new definitions?

6. Old Business
   Discussion of proposed COR Bylaw Changes – reduction in number of required members (Attachment 3)

6. New Business
September 19, 2014

COUNCIL OF VICE CHANCELLORS
LABORATORY DIRECTOR ALIVISATOS
ACADEMIC COUNCIL CHAIR GILLY
ANR VICE PRESIDENT ALLEN-DIAZ

Section 080, Medical Separation and Section 330, Specialist Series

Dear Colleagues:

Enclosed for Systemwide Review are proposed revisions to Sections 080, Medical Separation (APM - 080) and 330, Specialist Series (APM - 330). These proposed changes to two separate APM sections result from the substantive matters discussed below.

APM - 080, Medical Separation

The intent of APM - 080 remains a non-disciplinary method to medically separate a faculty member or other academic appointee who has exhausted eligible leave and who remains unable to perform the essential functions of his/her position or another vacant position for which the appointee is qualified, due to a disability or medical condition. Proposed revisions are intended to 1) bring APM - 080 into conformance with Regents Standing Order 101.1(b), Employment Status, 2) clarify authority to medically separate faculty with and without tenure or security of employment and appointees who are not members of the Academic Senate, and 3) revise language so that it is congruent with Americans with Disabilities Act (ADA) requirements. Additionally, the proposal is responsive to campus administrator and faculty requests to clarify the medical separation review process and to delineate the required consultation with the Disability Management Office, the written notice of intent to separate, the written notice of medical separation, and the appropriate approval authority.

Summarized below are some of the recommendations from Management Consultation (April – June 2014) that have been incorporated in the Systemwide Review draft:

- The proposed process regarding the interaction of the department chair and the dean has been streamlined by having the dean alone forward the recommendations of both the dean and the department chair to the chancellor.

- Some reviewers noted that the disability management officer (or equivalent) is appropriately involved in the medical separation process early on as advisory to the department chair and dean. Proposed language reflects that the disability management officer (or equivalent) will review and comment on the medical separation file before the file is submitted to the chancellor, and not afterward.
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- Changes have been made in response to reviewers’ assertion that the appointee has the right to review the medical separation file and to challenge the accuracy of the statements before submission to the Chancellor and, in cases requiring The Regents’ approval, before submission to the President.

- A section is added to insure and to define adequacy of notice to the appointee regarding the intent and the action to medically separate.

**APM - 330, Specialist Series**

Historically, the Specialist title series was used only in the Agricultural Experiment Station (AES). In 1962, use of the title was extended to the Scripps Institution of Oceanography and other departments and institutes in which individuals were similarly engaged in research. Since then, use of the title has grown; it is now utilized across many different disciplines with both technical and professional research programs. Currently, there are approximately 2,500 individuals appointed systemwide in the Specialist series.

APM - 330 defines responsibilities and requirements for appointment in the Specialist series, one of several academic title series used for appointees who are engaged in research and who do not have teaching responsibilities. Proposed revisions respond to campus requests to update the policy, recognizing the need to distinguish the Specialist title from the Staff Research Associate (SRA) title and other academic research titles.

Summarized below are some of the recommendations from Management Consultation (April – June 2014) that have been incorporated in the Systemwide Review draft:

- Proposed new language makes University and public service optional depending on the requirements of the funding source and duties.
- Amended language refines the criteria for each rank as well as educational and experiential qualifications for appointment and advancement.
- Current language is enhanced to be inclusive of the differences in disciplines and ranks.
- Conditions of employment are expanded and clarified to mirror other series within the APM.
- Language is refined within the salary and above-scale status sections.

**Systemwide Review**

Systemwide Review is a public review distributed to the Executive Vice Chancellors/Provosts, the Director, Lawrence Berkeley National Laboratory, and the Vice President of Agriculture and Natural Resources requesting that they inform the general University community, affected employees and union membership about policy proposals. Systemwide Review also includes a mandatory, three-month full Senate review. Employees should be afforded the opportunity to review and comment on the draft policy, available online at [http://www.ucop.edu/academic-personnel-programs/academic-personnel-policy/policies-under-review/index.html](http://www.ucop.edu/academic-personnel-programs/academic-personnel-policy/policies-under-review/index.html). Attached is a Model Communication which may be used to inform non-exclusively represented employees about these proposals.
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We would appreciate receiving your comments by **December 19, 2014**. Please submit your comments to ADV-VP CARLSON-SA@ucop.edu. If you have any questions, please contact Janet Lockwood at Janet.Lockwood@ucop.edu or (510) 987-9499.

Sincerely,

Susan Carlson
Vice Provost
Academic Personnel and Programs

Enclosures: Proposed Revised APM - 080 (redline and clean copy)
Proposed Revised APM - 330 (redline and clean copy)
Model Communication

cc: President Napolitano
    Chancellors
    Provost and Executive Vice President Dorr
    Secretary Shaw
    Senior Vice President Vacca
    Vice President Duckett
    Interim Vice President Tucker
    Vice Provosts of Academic Personnel/Academic Affairs
    Chief of Staff Grossman
    Deputy/UCOP Compliance Officer Lane
    Deputy to the Chief of Staff Riley
    Academic Personnel Directors
    Deputy General Counsel Drown
    Senior Counsel Van Houten
    Executive Director Baxter
    Executive Director Fox
    Executive Director Rodrigues
    Executive Director Tanaka
    Director Chester
    Manager Lockwood
    Policy and Compensation Analyst Flinker
    Policy Coordinator Trifonov
    Human Resources Policy Analyst Bello
    Senior Administrative Assistant Rupert
330-4 **Definition**

The Specialist series is used for academic appointees who are engaged in research in any specialized areas, research, professional activity, and University and/or public service and who do not have any formal teaching responsibilities. Specialists are expected to use their technical or professional expertise to make scientific and scholarly contributions to the research enterprise, to progress towards recognition in the professional and scientific community. Specialists may participate in University and/or public service depending upon funding source and required duties.

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.

330-6 **Responsibility**

a. **For Specialists in the Agricultural Experiment Station**

Responsibility for reviewing personnel and for recommending appointments and promotions rests with the department chairperson, dean of the college or school (or Director of the Citrus Experiment Station acting in the capacity of Assistant Director of the Agricultural Experiment Station) and the Chancellor.

b. **For Specialists in the Scripps Institution of Oceanography**

Responsibility for reviewing personnel and for recommending appointments and promotions rests with the director or department chairperson, the Director of the Scripps Institution of Oceanography, and the Chancellor.
c. For Specialists in all Other Departments

Responsibility for reviewing personnel and for recommending appointments and promotions rests with the director or department chairperson, the dean of the school or college involved, and the Chancellor.

330-8 Types

Appointment and promotion in this series may be made to the following ranks and steps listed below based on such criteria as level of expertise and independence required for the position, 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:

a. Junior Specialist, Step I – II

b. Assistant Specialist, Step I – III

c. Associate Specialist, Step I – IV

d. Specialist, Step I – V
330-10 Criteria

A candidate for appointment or advancement in this series is evaluated using a process of academic peer review according to the following guidelines for specialized research, professional competence and activity, or University and/or public service.

a. 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. 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), and/or invitations to participate in research projects

(3) Publications’ content that recognize the Specialist’s significant and meaningful contribution to the work
(4) Publications on which the Specialist is an author or that credit the Specialist in the acknowledgement section of the work

(5) Active dissemination of information through training, presentations, or other means stemming from the Specialist’s research

b. 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 his/her field of expertise and for demonstrated progression in the development or utilization of new approaches and techniques. Evidence of professional competence and activity may include:

(1) Participating 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) Reviewing journal manuscripts and other publications related to his/her area of expertise

(5) Education and credentials as related to the specialized area of research.

c. University and Public Service

Specialists may engage in University and/or public services 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.
330-11 Qualifications

The following educational and experiential qualifications are general guidelines for each of the ranks:

a. a. Junior Specialist

Appointees to the Junior rank should possess a baccalaureate degree (or equivalent degree) or equivalent research experience e.g., with instrumentation and research equipment, software programs, social science research methods, humanities scholarship, or creative activities.

b. b. Assistant Specialist

Appointees to the Assistant rank should possess a master’s degree (or equivalent degree) or five years of experience demonstrating expertise in the relevant specialization.

c. e. Associate Specialist

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
publishable research in the field and a demonstrated record of University
and/or public service.

d. Specialist
   Appointees to the full Specialist 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 publishable research in the field, professional recognition in
the field, and a demonstrated record of University and/or public service.

330-10 Criteria
   In judging a candidate for appointment or promotion to a position in this series, the
   following criteria are used:
   a. Performance in research in specialized areas
   b. Professional competence and activity
   c. University and public service

330-18 Salary
   a. Individuals appointed to the Specialist series are compensated on the fiscal
      year salary scales issued by the Office of the President for the Specialist series.
b. Salaries are subject to range adjustments.

a. An authorized

c. Appointments without salary scale established for are permitted in this series is issued by the Office of the President.

b. New appointees are normally paid at a minimum salary rate for the rank to which appointment is made. (See also APM-310-12-c.)

d. The Chancellor may approve salaries up to and including the Indexed Compensation Level threshold but higher salaries which exceed the Indexed Compensation Level threshold require the approval of the Provost and Executive Vice President for Academic Affairs.

See also APM-615-24.

330-20 Conditions Term of Employment Appointment

An appointment or reappointment in this series shall be made with a specified end date which should coincide with the normal period of service of the step to which the candidate is appointed or advanced, or a lesser period. Appointments may be made on a full- or part-time basis. The normal periods of service are each rank and step of the ranks are listed in APM-330-8 are below.

as shown in the Academic Salary Scale:

a. Junior Specialist

   Step I - 1 year
b. Assistant Specialist
   Step I - 2 years
   Step II - 2 years
   Step III - 2 years
   Step IV - No normal period
   2 years of service

c. Associate Specialist
   Step I - 2 years
   Step II - 2 years
   Step III - 2 years
   Step IV - No normal period
   2 years of service

d. Specialist
   Step I - 3 years
   Step II - 3 years
   Step III - No normal period
   3 years of service
   Step IV - No normal period
   3 years of service
   Step V - No normal period
   4 years of service

330-21 Conditions of Employment

a. Appointees in this series are ineligible for tenure or security of employment.
b. Appointees in this series are not members of the Academic Senate.

c. Paid leave

(1) Appointees in this series accrue sick leave credit and vacation credit in accordance with the provisions of APM - 710, Leaves of Absence/Sick Leave/Medical Leave and APM - 730, Leaves of Absence/Vacation.

(2) Appointees in this series are ineligible for sabbatical leave but may be eligible for other types of leave with pay when the leave is in the interest of the University and to the extent that funds are available in the source(s) from which the salary is paid, pursuant to APM - 758, Leaves of Absence/Other Leaves With Pay.

d. Expiration of an appointment, layoff, and termination

(1) For expiration of an appointment with a specific end date, see APM - 137, Non-Senate Academic Appointees/Term Appointment.

(2) For layoff or involuntary reduction in time before the end date, see APM - 145, Non-Senate Academic Appointees/Layoff and Involuntary Reduction in Time.
(3) For dismissal for unsatisfactory performance before the end date, see APM - 150, Non-Senate Academic/Appointees/Corrective Action and Dismissal.

e. Appointees in the Specialist series are eligible to present grievances under the provisions of APM - 140, Non-Senate Academic Appointees/Grievances.

330-24 Authority

Authority: The Chancellor has authority to approve appointments, reappointments, merit increases, promotions, and terminations in this series, following appropriate review, rests with the Chancellor except as noted below.

Specialist at an above-scale salary:

The Chancellor has the authority to approve above-scale salary levels up to and including the Regental compensation threshold. For salaries beyond the Regental compensation threshold, authority rests with The Regents on recommendation of the President, after appropriate review and as prescribed in Section 101.2(a)(2) of the Standing Orders of The Regents.

330-80 Recommendation and Review

a. General Procedures
The provisions of APM - 220-80-c, -d, -e, -h, -i, and 220-84-b, modified as appropriate in specific circumstances, apply to this series.

b. **Basis for Reviewing Candidates for Advancement**

Appointees to the Specialist series are eligible to be reviewed at normative intervals. Candidates for advancement in rank or step are based only on the individual’s achievements; availability of funding is not a consideration during review for advancement.

c. **Advancement to Above-Scale**

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 competence is excellent, and (3) service is highly meritorious. Advancement requires demonstration of additional merit and distinction beyond the performance on which advancement to Step V was based. Except in rare and compelling cases, advancement will not occur in less than four years at Step V; mere length of service and continued performance at Step V is not justification for further advancement.
A further merit increase for an individual already serving at Above-Scale salary level must be justified by new evidence of merit and distinction; 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.