

## **Service Expectancy and ASE Determination**

Most students with a teaching appointment at the University of Washington will be covered by the UAW bargaining unit contract. While many students engaged in research activities are also included in the unit, the PERC ruling left open the possibility that some individuals in the non-teaching occupation codes covered by the contract would be excluded from the bargaining unit. The determination of whether a student who is engaged in research or other non-teaching activities is an academic student employee (ASE) is based on the following criteria:

- 1) The student is receiving compensation in the form of a salary or a stipend award to conduct the activities;
- 2) The student's activities are part of a professor's scholarly work to advance progress towards completion of a project or provide necessary assistance to a member of the faculty or staff;
- 3) The service expectancy exceeds 110 hours in a 12-month period.

If all of the above criteria are met, the student meets the basic "service expectancy" requirement for inclusion in the bargaining unit. On occasion, some but not all of the activities of a student may have a service expectation. When this occurs, only those hours that have the service component are included in the calculation of the student's service expectancy.

## **Examples of Service Expectancy**

- A student employed by a professor to perform research that will directly benefit a research project being done by the professor.
- A student whose research fulfills the terms of a research grant on which the faculty sponsor is the Principal Investigator (PI), and in such a manner that the faculty member "expects" or requires the student to work on the research has service expectancy,
- Some departments require students to rotate through several labs in their first or second year of graduate school. If the research a student performs in a lab rotation is in support of a faculty member project, the student has service expectancy.
- Other Factors that indicate the presence of service expectancy include the professor or supervisor dictating when particular research or tasks must be performed, someone else in the lab doing the research or tasks if the student does not do them, and the research or task being performed in order to comply with a commitment made by the University or the professor to an outside third party.

## **Examples of No Service Expectancy**

- A student receiving funding in the form of an award from a source outside the institution to engage in his or her own research
- A student doing research that is not required by a faculty member in order to fulfill commitments to an outside third party (such as a grantor or corporation).
- A student involved in a lab rotation who is assigned research that does not provide the faculty member with required project support. For example, if all students in the lab of a professor perform the same research projects, and the projects are predicated solely on the educational benefit provided to the students, none of the students would be performing “service” for the professor.
- Other Factors that indicate lack of a service expectation include the student receiving graded credit that counts in the calculation of his/her GPA for the research, or the student being registered for a specific course of instruction (also graded and counting toward the GPA) for which the research must be performed as part of the course requirements.

**Attachment A:** UAW Local 4121 Service Classifications

**Attachment B:** UW Non-Service Graduate Appointee Classification

This document represents the University's interpretation of Service Expectancy related to Decision 8315 (PECB 2003) by the Public Employment Relations Commission relative to inclusion of certain classes of Academic Student Employees in the UAW Local 4121 bargaining unit. This document is subject to modification due to ongoing discussions with UAW Local 4121.

## UAW Local 4121 Service Classifications

<p><b>Hourly ASE</b></p> <p>0886 Reader/Grader  0887 Tutor  0868 Undergraduate Teaching Assistant  0869 Undergraduate Research Assistant</p>	<p><u>Tutors</u> provide individual or group instructional activities in support of regular academic programs. Under supervision, Tutor duties may include: individual tutoring sessions, group tutoring sessions, presentation at workshops, and other duties as assigned.</p> <p><u>Reader/Graders</u> provide diverse services as course assistants, which normally include grading student papers and examinations. Reader/Grader duties may also include: attendance at lectures, office hours, consultation with instructors, and other duties as assigned.</p> <p><u>Undergraduate Teaching Assistants</u> provide administrative support for quiz, discussion, or laboratory sections and serve as class assistants. Faculty or other academic personnel should provide appropriate guidance and feedback, particularly in cases where Undergraduate Teaching Assistants are filling new roles and engaging in activities that are new to them.</p> <p><u>Undergraduate Research Assistants</u> engage in research on sponsored research projects under the direct guidance and supervision of faculty or other research staff.</p> <p>All hourly ASE must be registered or in approved on-leave status as follows:</p> <ul style="list-style-type: none"> <li>• Undergraduate Students – 6 credits</li> <li>• Graduate and professional students - 4 credits</li> <li>• Ph.D. candidates working on dissertations - 2 credits</li> </ul> <p>All hourly ASE are limited to working 19.5 hours per week when classes are in session. They may work more than 19.5 hours per week during school breaks or when "on leave". A student can work as an hourly ASE for one quarter while on leave.</p> <p>Students may be considered "on leave" as follows:</p> <ul style="list-style-type: none"> <li>• Undergraduates – For one quarter immediately following a quarter in which the student was enrolled for at least 6 academic credits (this includes summer quarter).</li> <li>• Graduate Students – When the student has applied for and been granted such status by the Dean of the Graduate School. All graduate students are considered on-leave during Summer Quarter.</li> </ul>
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## UAW Local 4121 Service Classifications

<p><b>Teaching ASE</b>  0817 Teaching Assistant  0816 Pre-doctoral Teaching Associate I  0815 Pre-doctoral Teaching Associate II  0804 Pre-doctoral Instructor  0805 Pre-doctoral Lecturer</p>	<p><u>Teaching Assistants</u> lead quiz, discussion, or laboratory sections, serve as a class assistants, or provide supervised teaching. Faculty or other academic personnel provide appropriate guidance and feedback, particularly in cases where Teaching Assistants are filling new roles and engaging in activities that are new to them.</p> <p><u>Teaching Associates I</u> take on greater independence in the development and teaching of academic courses. Guidance and feedback provided by faculty take into account the more advanced stages of experience and development expected at this level. They are ordinarily post-master's students.</p> <p><u>Teaching Associates II</u> take on greater independence in the development and teaching of academic courses. Guidance and feedback provided by faculty take into account the more advanced stages of experience and development expected at this level. They are ordinarily Ph.D. Candidates.</p> <p><u>Pre-doctoral Instructors</u> normally work independently and are solely responsible for the development and teaching of academic courses. They are ordinarily doctoral students who have achieved candidacy.</p> <p><u>Pre-doctoral Lecturers</u> work independently and are solely responsible for the development and teaching of academic courses. They are ordinarily pre-doctoral students who have held a teaching appointment at the rank of assistant professor or higher in other institutions or have achieved a comparable level of ability through a combination of experience and education.</p> <p>All teaching assistants, associates, instructors and lecturers must be registered for a minimum of 10 credits in the quarter in which their appointment is provided (2 credits in Summer Quarter).</p>
<p><b>Research ASE</b>  0847 Research Assistant  0846 Pre-doctoral Research Associate I  0845 Pre-doctoral Research Associate II  0844 Pre-doctoral Researcher</p>	<p><u>Research Assistants</u> engage in research on sponsored research projects or other faculty member projects under the direct supervision of faculty or other research staff. Appropriate activities may also include independent research under the guidance of a faculty member. They are normally pre-master's students.</p> <p><u>Research Associates I</u> engage in research on sponsored research or other faculty member projects under the general supervision of faculty or other research staff. Appropriate activities may also include independent research under the guidance of a faculty member. They are normally post-master's students.</p>

## UAW Local 4121 Service Classifications

<p><b>Research ASE (Continued)</b>  0847 Research Assistant  0846 Pre-doctoral Research Associate I  0845 Pre-doctoral Research Associate II  0844 Pre-doctoral Researcher</p>	<p><u>Research Associates II</u> engage in research on sponsored research projects or other faculty member projects under the general supervision of faculty or other research staff. Appropriate activities may also include independent research under the guidance of a faculty member. They are normally a doctoral candidate.</p> <p><u>Pre-doctoral Researchers</u> engage in sponsored research on an independent basis with little or no faculty supervision. A Pre-doctoral Researcher is normally a doctoral candidate.</p> <p>All research assistants, associates must be registered for a minimum of 10 credits in the quarter in which their appointment is provided (2 credits in Summer Quarter).</p>
<p><b>Staff ASE</b>  0857 Staff Assistant  0856 Pre-doctoral Staff Associate I  0855 Pre-doctoral Staff Associate II</p>	<p><u>Staff Assistants</u> engage in activities such as student advising, institutional research, museum or art gallery assistance, university administration, etc. Activities should ordinarily complement formal academic training, or research and teaching activities.</p> <p><u>Staff Associates I</u> engage in activities such as student advising, institutional research, museum or art gallery assistance, university administration, etc. Activities should ordinarily complement formal academic training, or research and teaching activities. They are normally post-master's students.</p> <p><u>Staff Associates II</u> engage in such activities as student advising, institutional research, museum or art gallery assistance, university administration, etc. Activities should ordinarily complement formal academic training, or research and teaching activities. They are normally doctoral candidates.</p> <p>All staff assistants and associates must be registered for a minimum of 10 credits in the quarter in which their appointment is provided (2 credits in Summer Quarter).</p>
<p><b>Stipend ASE</b>  0859 Grad Trainee C</p>	<p>Trainees are provided monetary awards that are designated by the funding source as stipend support for undertaking full-time training-related activities related to their education. The general purpose of a traineeship is to provide training recipients the opportunity to spend 100% of their time in training related activities supporting scientific research, normally in a particular field of study. Stipend Grad Trainee C recipients are distinguished from their non-union counterparts by the fact that they spend more than 110 hours per year conducting research or</p>

**UAW Local 4121 Service Classifications**

<b>Stipend ASE</b> (Continued) 0859 Grad Trainee C	other activities that are considered service in support of a faculty member's sponsored project. They receive bi-monthly payments through the UW payroll system that are equal to or greater than \$800 per month. They must be registered for a minimum of 10 credits in the quarter in which the appointment is provided (2 credits in Summer Quarter).
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**Additional Information from the UW/UAW Contract**

Article 14 – Job Titles and Classifications

Section 2. ASEs shall be appointed to the highest title and pay classifications for which they are eligible based on job duties, degree standing and experience, as described in Section 1. ASEs may be appointed to a higher title and pay classification at the discretion of the Department or Hiring Unit. In making promotional decisions, Departments and Hiring Units are encouraged to take an ASE's job experience and performance into account as well as degree standing.

Section 3. ASEs who meet the standard qualifications described above and who are assigned to teach their own courses shall be classified for that quarter in either the Pre-doctoral Instructor or Pre-doctoral Lecturer title and pay classification.

### UW Non-Service Graduate Appointee Classifications

0830 Academic Research Appointee	Academic Research Appointees engage in thesis or dissertation research and other activities supporting their academic status and responsibilities (e.g. independent research, writing, establishing doctoral committees, meeting with faculty and staff, taking exams, preparing for coursework, professional development activities, etc.). ARAs are supervised by members of the graduate faculty relative to their academic requirements but have full control over their work activities, schedules, and products. ARAs may not be paid on research grants or contracts unless the sole purpose of the grant or contract is to provide support for ARAs to conduct independent, unsupervised research. They may not have service implied or expressed as a condition of their appointments and no service may be imposed upon them. They must be registered for a minimum of 10 credits in the quarter in which the appointment is provided (2 credits in Summer Quarter).
0831 Rotation Research Appointee	Rotation Research Appointees are graduate students in the health sciences or related disciplines who are supported on departmental funds in their first academic year to rotate among different laboratories as a means of exploring research areas and choosing a permanent lab in which to work. They must be enrolled in a course that supports exploration of research and requires the laboratory rotations as a requisite for receiving credit for the course. RRAs may not have service implied or expressed as a condition of their appointment and no service may be imposed upon them. RRA's must be registered for a minimum of 10 credits in the quarter in which the appointment is provided (2 credits Summer Quarter).
0832 Top Scholar Research Appointee	Top Scholar Research Appointees are recipients of awards provided by the Graduate School to campus departments for recruitment of top students to their programs. TSRAs may engage in research under the general supervision of faculty or other research staff as long as those activities support development of their thesis or dissertation topics or other academic activities and do not support a faculty member's project. TSRAs may not have service implied or expressed as a condition of their appointment and no service may be imposed upon them. They must be registered for a minimum of 10 credits in the quarter in which the appointment is provided (2 credits Summer Quarter).
0863 Stipend Grad Fellow A	Grad Fellow A appointees receive monetary awards in the form of fellowships that are intended to provide students with the opportunity to pursue their academic interests without

### UW Non-Service Graduate Appointee Classifications

0863 Stipend Grad Fellow A (Continued)	imposition of a service requirement. Awards in the Grad Fellow A category are paid bi-monthly stipends through the UW payroll system in an amount equal to or exceeding \$800 per month. Fellows may not have service implied or expressed as a condition of their appointment and no service may be imposed upon them. They must be registered for a minimum of 10 credits in the quarter in which the appointment is provided (2 credits Summer Quarter).
0861 Stipend Grad Fellow B	Grad Fellow B appointees may receive one-time payments of an unlimited amount or bi-monthly stipends paid through the UW payroll system in amounts less than \$800 per month. Fellows may not have service implied or expressed as a condition of their appointment and no service may be imposed upon them.
0864 Stipend Grad Trainee A	Trainees are provided monetary awards that are designated by the funding source as stipend support for undertaking full-time training-related activities related to their education. The general purpose of a traineeship is to provide training recipients the opportunity to spend 100% of their time in training-related activities supporting scientific research, normally in a particular field of study. Stipend Grad Trainee A recipients are distinguished from their union counterparts by the fact that they spend less than 110 hours per year conducting research or other activities that are considered service in support of a faculty member's project. Stipend Grad Trainee A recipients receive bi-monthly payments through the UW payroll system that are equal to or greater than \$800 per month. They must be registered for a minimum of 10 credits in the quarter in which the appointment is provided (2 credits Summer Quarter).
0860 Stipend Grad Trainee B	Grad Trainee B appointees may receive one-time payments of an unlimited amount or bi-monthly stipends paid through the UW payroll system in amounts less than \$800 per month. Stipend Grad Trainee B recipients may not have service implied or expressed as a condition of their appointment and no service may be imposed upon them.

#### General

All students who are appointed in the Academic Research Appointee, Rotation Research Appointee and Top Scholar Research Appointee classifications should be paid at the level the individual would qualify for if appointed as a research assistant in the appointing unit.