

Postdoctoral Education at the University of California

Report of the UC Council of Graduate Deans

Fall 1998

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Introduction: Memo from Vice Chancellor Attiyeh

January 6, 1999

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SUBJECT: Postdoctoral Education at the University of California – Report of the UC Council of Graduate Deans

I am pleased to submit for your review and consideration a report developed by the Graduate Deans of the University of California. This report, called "Postdoctoral Education at the University of California," is the product of more than two years of discussions among the deans concerning the role of postdoctoral study in the University, and the conditions under which our postdoctoral scholars currently train and work. Our conclusions are expressed in a series of recommendations for actions to be taken by the Academic Senate, by deans, by departments and research units, by postdoc mentors, and by the Office of the President, to ensure that the postdoctoral experience at UC is as productive and rewarding as it can be. The report is also being transmitted to Senior Vice President Judson King and Academic Council Chair Aimee Dorr by the Chair of the Council of Graduate Deans.

The deans hope that their analyses and recommendations will stimulate broad-based discussions within the University, leading to better understanding of postdoctoral scholars' contributions to the mission of the University and also to improvements in the nature and conditions of their appointments.

I would welcome the opportunity to discuss the report's findings and recommendations with you and your faculties and plan to raise a number of the issues discussed in the report at various settings during the winter quarter. Your written comments are also invited. Should you have questions or need additional information, please communicate with me or Jean Fort, x43683, jfort@ucsd.edu.

For additional copies of the report, please email Merritt Bradford at merritt@ucsd.edu.

Richard Attiyeh
Vice Chancellor for Research
Dean of Graduate Studies

Summary of Report Recommendations

1. That governance and responsibility for postdocs rest with the graduate deans or their designees;
2. That the University recognize postdocs as a unique group separate from faculty, students, and staff;
3. That the University provide a clear statement of its view of the postdoctoral experience, including the primary responsibility of the faculty mentor;
4. That the University revise its definition of a postdoctoral scholar and use this definition to determine eligibility;
5. That the University create two (or more) appointment titles to be used system-wide to identify postdocs regardless of fund source (payroll, stipend, direct pay to individual);
6. That the University set both a minimum and maximum compensation level for postdoctoral scholars; the minimum to equal the NIH minimum (currently \$21,000);
7. That the University make postdoctoral appointments for a period of up to three years, with reappointments permissible up to a total of five years including time spent in postdoctoral status at other institutions;
8. That the University require appointments to be at 100% time;
9. That the University adopt consistent policies regarding sick leave (8 hours per month), and vacation leave at 8 hours per month for years 1-3, and 10 hours per month for years 4 and 5;
10. That the University provide mandatory medical health insurance and investigate the feasibility of a system wide plan;
11. That campuses establish a grievance procedure using existing models for faculty, students and staff;
12. That the University revisit its relationship with postdoc on an annual basis to try to provide other services and benefits such as career counseling and job placement assistance, access to housing, and recreational activities;
13. That the University continue to improve and enlarge the scope of its data collection regarding postdoctoral scholars;and,
14. That the campuses explore ways to fund initiatives to provide additional services and benefits including creating an appointment fee or requesting a central campus allocation for this purpose.

Report on Postdoctoral Education at the University of California

The University of California Council of Graduate Deans representing all nine campuses presents this report on postdoctoral education at the University of California. This report contains specific recommendations for consideration by campus Graduate Councils, Academic Senates, departments and administrations, by the Office of the President, and by the Coordinating Committee on Graduate Affairs.

Across its nine campuses, the University of California has over 4,000 postdoctoral scholars - mostly in the sciences. In Fall 1997, numbers ranged from 152 at Santa Barbara to 1,002 at San Francisco. Often described as the "hidden university," the status of UC postdocs is similar to postdoctoral status nationally where their numbers are increasing, where they are remaining longer in "temporary" positions, where they are increasingly dissatisfied, where they are subject to inconsistent policies and practices or none at all, and where information about them is inadequate. Therefore, this report is viewed as timely and important and in concert with several national initiatives.

National Background

Three recent reports: one from the National Research Council (NRC) Committee on Dimensions, Causes, and Implications of Recent Trends in the Careers of Life Scientists: "Trends in the Early Careers of Life Scientists"; one from the Association of American Universities (AAU) Postdoctoral Education Committee, and one from the Commission of Professionals in Science and Technology (CPST): "Postdocs and Career Prospects: A Status Report", provide a national context for discussion of the postdoctoral experience. Berkeley Dean Joseph Cerny was a member of the AAU committee whose findings are summarized briefly. The AAU report is available at <http://www.aau.edu/reports/PostdocRpt.html>. An executive summary of the NRC report is available at <http://www.nap.edu/readingroom/books/trends>. Information on CPST is at [omitted - this page is no longer available - October 2000]. A complete copy of this report may be obtained from campus graduate deans.

The AAU Committee found some specific points of concern:

- The steady growth in the number of postdoctoral appointments nationally - and the increasing number of those granted to foreign Ph.D.s on temporary visas
- The increasing number with second, third, and even fourth appointments
- The widely held perception that the appointment is being used as an employment holding pattern
- The apparent transition, at least in some disciplines, of the postdoctoral appointment from an elective activity to a required credential
- The growing number of reports of dissatisfaction expressed by postdocs

The AAU Committee made the following recommendations as a model for consideration by individual institutions:

- The postdoctoral appointment should be clearly defined and remain a temporary appointment with a primary purpose of providing additional research training for academic or research career
- A central administrative office should be assigned responsibility for postdoctoral policies

- The university should establish core policies to cover such areas as employment vs. student category; realistic minimum stipends and benefits; workers' compensation; publication rights; career advising; grievance procedures; education in ethics, conflict of interest, and outside consulting. In particular, all postdocs should have access to a comprehensive health care plan for themselves and their families
- The university should establish explicit guidelines for recruitment and appointment of postdocs and for the duration of their appointments. As a general rule, the total time spent by an individual in postdoctoral study at all institutions should not exceed six years
- All appointees should receive a letter of appointment which includes a statement of goals, policies and responsibilities.
- Departments and faculty mentors should provide career advising and job placement assistance.
- The university should provide a certificate or letter of completion to assist postdocs in securing subsequent employment.
- The university should periodically evaluate the balance of interests among postdoctoral appointees, their faculty mentors, their home departments, and the institution as a whole, in order to assure that the legitimate education needs and career interests of the postdoc are being met.

UC Background

The Graduate Deans and their respective staffs and representatives from the Office of the President have met several times since January, 1997 both in sub-committee meetings of staff and meetings of the COGD as a whole to produce this report. Several comparison institutions were polled including Stanford, Columbia, Johns Hopkins, Harvard, Michigan, SUNY Buffalo, University of Wisconsin, University of Washington, and Yale as well as a comparison of UC campuses. The committee also reviewed several current national reports and articles regarding postdoctoral education including the three cited above.

The committee found that several policies regarding postdoctoral scholars already existed in the University, that there were a wide variety of policies, practices, benefits, services, and awareness of postdocs among the nine campuses. Not surprisingly, the larger the campus postdoc population, the more policies, procedures, services, and benefits existed. A major challenge was the slightly different ways in which campuses defined and therefore counted postdocs, whether or not campuses Graduate Divisions functioned as a central administrative unit responsible for postdoc appointments, and how Graduate Divisions and medical schools interacted on those campuses with both.

Appendix A shows the number of postdocs reported by campus to the Office of the President for Fall 1997. Since counting postdocs is somewhat problematic for many campuses, these numbers are provided to inform discussion only.

Governance and Responsibility for Postdoctoral Education

After review of Regents Standing Orders relevant to postdoctoral education and Academic Senate bylaws, the deans concluded that the Senate interprets postdoctoral education as an extension of graduate education by giving to Graduate Councils the authority and power to set policy and standards for postdoctoral appointments and assigning responsibility for postdoctoral activities, including initiating and administering policies, processes, and programs which enhance postdoctoral education. (Academic Senate Bylaw 330.B. Duties of Graduate Councils). Deans may delegate authority for postdoctoral appointments to other administrative officials as such delegation is not prohibited by

Regents Standing Orders or Senate Bylaws. Graduate Deans or their designees retain the right to grant exceptions to policies.

Recommendation: That Graduate Councils and Graduate Divisions on all campus be assigned central responsibility for postdoctoral education and that this responsibility may be delegated to other administrative officials at the discretion of the Graduate Deans. Further, that department chairs and organized research unit directors are responsible for overseeing postdoctoral education within their academic units and that faculty mentors are responsible for guiding and monitoring the work of postdoctoral scholars, for developing a research and training plan with the scholar, for providing periodic oral and written evaluations of progress, for career advising, and for job placement assistance.

UC View of the Postdoctoral Experience

Appendix B is a proposed philosophical statement of the University of California view of the postdoctoral experience.

Recommendation: The UC View of the Postdoctoral Experience be circulated to campus Graduate Councils, Academic Senates, departments, and administration, Office of the President, and CCGA for comment and adoption system wide. And that once adopted, this statement be published and disseminated as appropriate.

UC Definition of a Postdoctoral Scholar

Academic Senate Bylaw 106(B)(3)(a) states that the Graduate Councils have the responsibility for setting "standards for the appointment of postdoctoral scholars or their academic equivalent." A footnote to this Bylaw states:

The term "academic equivalent" refers to such appointments as Postgraduate Research category who are in training status but not to interns or residents. Enrollment as a postdoctoral scholar is limited to a period not to exceed five years.

Appendix C is a proposed UC definition of a postdoctoral scholar from the Council of Graduate Deans (COGD). This proposed definition is consistent with and builds upon the current Senate definition and incorporates recommendations from the AAU report.

Recommendation: The UC COGD proposed definition of a postdoctoral scholar be circulated to and reviewed by campus Graduate Councils, Academic Senates, administrations, and Office of the President. Upon approval by CCGA, the revised definition be used to determine an individual's eligibility for postdoctoral status. Since the proposed definition is consistent with current Senate legislation, it does not require approval of the Academic Assembly of the UC Academic Senate. CCGA, however, has the option of forwarding the definition to the Academic Assembly for approval to include the definition in the Senate Bylaws.

Postdocs as a Separate New Group

The Deans, recognizing the growing number of postdocs, the increasing duration of appointment time, the increasing dissatisfaction with some aspects of their status, and their continuing important contribution to the mission of the university, make the following recommendation:

Recommendation: Postdoctoral scholars should be constituted as a distinct group of individuals in the University of California - a group clearly separate from students, other academic employees, staff employees, and resident and house staff (including clinical fellows) and that this group should have its own policies, programs, services and benefits.

Appointment Titles

Currently, several title codes are used by the campuses to signify postdoctoral scholars. These include Title Codes 3370, 3240, 9995 (Davis only), and 3296. On some campuses postdoctoral scholars are viewed separately from postgraduate researchers but on other campuses these two titles are interchangeable. These title codes do not always capture postdoctoral scholars funded through fellowships and traineeships which preclude employment status and who, on some campuses, are paid via fellowship stipend or postdoctoral scholars who are funded directly. The University must have an accurate way to identify and count its postdoctoral population.

Recommendation: At least two appointment titles are needed to conform with extramural funding agency requirements. One for postdocs, who because they are funded through their mentor's research grants, must be employees and therefore require academic titles. A second title is needed for postdocs funded directly or through fellowships and traineeships from extramural sponsors, most of whom state that scholars are not considered employees. A third title might be needed to track supplemental funding for individual postdocs.

Appendix D provides detailed recommendations about criteria and conditions for appointment. Of particular importance are recommendations regarding percent time and length of time for a postdoctoral appointment, minimum compensation levels for postdocs, and leaves of absence. Those recommendation are summarized below:

Recommendation regarding salary and stipend levels: A minimum compensation level should be set to be at least equivalent to an NIH training grant (September 1998 = \$21,000; October 1998 = \$26,250 (proposed for consideration). The maximum compensation level would be equal to 150% of the current maximum PGR level (\$64,152).

Recommendation regarding length of service: Appointments are temporary, could be made for a period of up to three years, with reappointments permissible up to a total of five years including time spent in postdoctoral status at other institutions.

Recommendation regarding percent time: Postdoctoral Scholar appointments would be made at 100% time to recognize that preparation for an academic or research career requires 100% effort. Exceptions could be made in unusual circumstances by the Graduate Dean or Dean's designee for individuals who are unable to pursue full-time study for reasons of health, family responsibilities, or employment external to the University.

Recommendation regarding leaves of absence: Sick leave would accrue at one working day (8 hours) per month for full time service unless the funding agency has other requirements. Vacation leave would accrue at one day (8 hours) per month for full time service for the first three years and then to 10 hours per month in years 4 and 5 unless the funding agency has other requirements. Parental leave policies would be established by campuses in compliance with federal and state law.

Benefits

The AAU report recommends that all postdoc appointees should have access to a comprehensive health care plan for themselves and their dependents. Some other desired benefits or services include workers' compensation coverage, access to career planning and job placement assistance, and access to a grievance procedure. These same concerns were echoed in a 1996 survey of postdocs at UCSF, where postdoctoral scholars have formed a registered campus organization.

Health Insurance

A survey of UC campuses indicates established plans for postdocs at Irvine (as of 1998), San Diego, and San Francisco; access to GSHIP or an undergraduate dependent plan at Davis and Santa Barbara respectively; and no plans in place at UCB, UCLA, Riverside, or Santa Cruz. UCB and UCLA seek to establish plans in the near future.

Plan coverage varies as do voluntary vs. mandatory enrollment. UCSF and UCSD have the most comprehensive coverage. UCSF offers a choice of HMO or PPO and includes medical, dental, vision, Life, ADD&D, and LTD and is linked to the campus plan for house staff and residents. UCSD offers an HMO and dental and vision plans.

Recommendation: That health insurance for postdoctoral scholars be mandatory. That University of California provide access to, at minimum, medical insurance for all postdoctoral scholars officially appointed and in future years consider adding vision and dental plans. That the Office of the President study the viability of a system-wide policy for postdoctoral scholars.

Access to a Grievance Procedure

Access to a grievance procedure is a common theme in postdocs surveys and a recommendation of the AAU report which cites growing dissatisfaction among this group of individuals. The University has grievance procedures for faculty, for non-senate academic employees, for students, and for staff but none specifically for postdocs.

Recommendation: That using existing campus grievance procedures as a model, campuses establish a separate and distinct grievance procedure for postdoctoral scholars that is written, protects due process, contains clear time lines, requires a clear statement of alleged grievance and requested remedy, requires adequate opportunity and venue for response and resolution, provides for the assignment of authority/responsibility to either a designated individual or a designated hearing committee, is followed consistently, and is well known to those it covers or otherwise impacts.

Other Benefits and Services

There are several other important areas for future action for postdoctoral scholars. These areas include career counseling and job placement assistance, access to housing and recreational activities, workers' compensation as related to postdocs, taxation compliance information as related to postdocs, centralize appointment processes, improve data collection, and tracking postdocs as they move on in their careers.

Recommendation: That the Office of the President and campuses continue to work to improve the postdoctoral experience at the University and revisit this topic on an annual basis to assess progress and plan for future action.

Funding for Initiatives to Enhance Postdoctoral Education

Funding is needed in order to provide for benefits and services recommended in this report.

Recommendation: Campuses are encouraged to do a cost analysis and create a fund source to support these endeavors. At campus option, explore the possibility of charging "an annual appointment fee" for postdoctoral scholars in most cases this would be paid by the principal investigator/faculty mentor or to explore an allocation from central campus administration.

Conclusion

The University of California recognizes the important role postdoctoral scholars play in its mission of education and research and strives to be a national leader in providing the best possible educational and training experience for them. The adoption of the recommendations contained in this report is viewed as an important step in improving postdoctoral education within the University.

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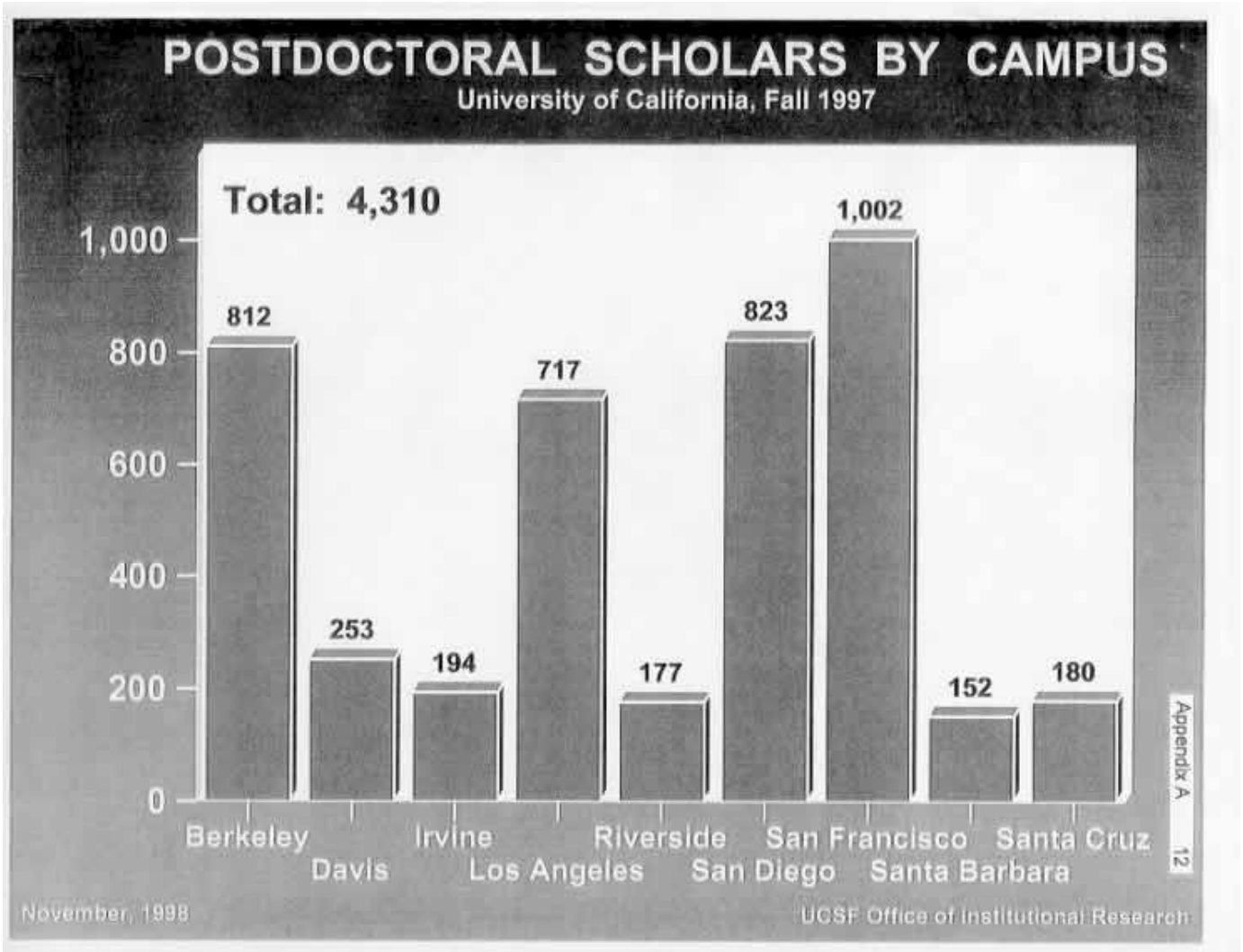
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Appendix A: Postdoctoral Scholars by Campus, Fall 1997



Appendix B: Governance and Responsibility for Postdoctoral Education

Nationally

Postdoctoral education is seen widely as an extension of graduate education. The March 1998 report from the Association of American Universities Committee on Postdoctoral Education found that most universities lack institutional oversight of postdoctoral appointments and few institutions have policies established specifically for postdoctoral appointees.

University of California

Governance is shared by The Regents, the President and his administration, the Chancellors and their administration, and the faculty through the Academic Senate. The Regents have delegated to the Senate authority for instructional matters, and the Senate consults with the administration and The Regents on a wide range of issues. The Regents have delegated broad authority and responsibility to the President for the administration of all affairs and operations of the University, excluding only those activities which are the responsibility of the Secretary, Treasurer, and General Counsel of The Regents and of the Academic Senate.

Regents Standing Orders relevant to postdoctoral education

1. 105.2(a) The Academic Senate, subject to the approval of the Board, shall determine the conditions for admission, for certificates, and for degrees other than honorary degrees.

This standing order applies if certificates are issued for postdoctoral study.

2. 105.2(b) The Academic Senate shall authorize and supervise all courses and curricula offered under the sole or joint jurisdiction of the departments, colleges, schools, graduate divisions, or other University academic agencies approved by the Board, except that that Senate shall have no authority over courses in the Hastings College of the Law, San Francisco Art Institute, in professional schools offering work at the graduate level only, or over non-degree courses in the University Extension.

This standing order applies if postdoctoral study is considered a "course or curriculum".

3. The Board has established the colleges, schools, graduate divisions. Detailed provisions of this establishment shall be set forth in the minutes of the Board.

Academic Units and Functions, Affiliated Institutions, and Related Activities of the University:
15.(c) The Graduate Divisions shall embrace all graduate activities of the academic and professional departments on their respective campuses.

This section assigns administrative responsibility for postdoctoral education to Graduate Division if postdoctoral education is considered a part of graduate activities.

4. 105.2(e) The Academic Senate shall have the right to lay before the Board, but only through the President, its views on any matter pertaining to the conduct and welfare of the University.

This standing order permits the Senate to advise on anything.

Senate Bylaw

The Senate has assumed responsibility for postdoctoral education:

330.B. Duties. Graduate Councils shall:

Set policy and standards for:

*Appointment of postdoctoral scholars or their academic equivalent and for their enrollment by the Graduate Division.**

Conclusions

1. The Senate has interpreted that postdoctoral education is an extension of graduate education by giving to Graduate Councils the authority and power to set policy and standards for postdoctoral appointments.
2. The Senate has assigned responsibility for postdoctoral appointments to Graduate Divisions.
3. Assuming postdoctoral education is an extension of graduate education, then the Regents have assigned responsibility for postdoctoral activities to Graduate Divisions.
4. Regents Standing Orders and Senate Bylaws do not specifically prohibit delegation of administrative responsibility for postdoctoral education. Therefore, Graduate Deans may delegate authority for postdoctoral appointments to other administrative officials; e.g., vice chancellors for research, disciplinary and college deans.

Responsibilities

1. Coordinating Committee on Graduate Affairs – Assuming that postdoctoral education is an extension of graduate education, then according to Senate Bylaw 180.B.1 Duties, CCGA is responsible for advising the President of the University and all agencies of the Senate regarding the promotion of research and learning related to postdoctoral affairs.
2. Graduate Councils – Their role can be considered more than setting policies and standards for the appointment of postdoctoral scholars if postdoctoral education is an extension of graduate education. For example, according to section Senate Bylaw 330.B.9 Duties, Graduate Councils are responsible for reporting and making recommendations to the Division on matters pertaining to postdoctoral work.
3. Graduate Deans are responsible for overseeing postdoctoral education, appointing postdoctoral scholars, and initiating and administering policies, processes, and programs which enhance postdoctoral education.
4. Department chairs and research unit directors are responsible for overseeing postdoctoral education within their academic unit, for communicating with the academic unit's faculty and with the graduate dean about postdoctoral education matters (including recommending the appointment of individual postdoctoral scholars), for fostering good postdoctoral education practices, for implementing University policy relating to postdoctoral education, and for resolving conflicts between postdoctoral scholars and their mentors.
5. Mentors are responsible for guiding and monitoring the work of postdoctoral scholars, for developing a research and training plan with the scholar, for making expectations clear, for

providing periodic oral and written evaluations of progress, for career advising, and for assisting with job placement.

Appendix C: View of the Postdoctoral Experience at the University of California

The University of California regards the postdoctoral experience as one which emphasizes scholarship and continued academic training for individuals who recently completed a doctoral degree. The postdoctoral appointment is a temporary one designed to conduct research under the general oversight of a mentor in preparation for a permanent position in academe, industry, government, or the nonprofit sector. For many doctorates, especially in the sciences, postdoctoral work is an essential step in the educational process and may include opportunities to enhance teaching and other professional skills.

The University seeks to balance the interests of the postdoctoral scholar, the faculty mentor, the home departments, and the institution as a whole, and to ensure that the legitimate educational needs and career interests of the postdoctoral scholars are being met.

The University of California strives to provide a stimulating, positive and constructive experience for the postdoctoral scholar, by emphasizing the mutual commitment and responsibility of the institution, the faculty, and the postdoctoral scholar. The University provides access to a broad spectrum of faculty, provides the postdoctoral opportunities for collaborative and independent research and publication, ensures that postdoctoral scholars are treated in a fair and equitable manner according to university policies and practices.

Primary responsibility for a successful experience rests with the faculty research mentor. The expectations of the faculty mentor and the postdoctoral scholar should be defined clearly at the initiation of the appointment. The research mentor is responsible for guiding and monitoring the work of the postdoctoral scholar. This guidance should include periodic verbal and written evaluation of progress, career counseling, and job placement assistance.

Postdoctoral scholars add value to the academic community by contributing to the education and research mission of the University. They enhance the role of the faculty by providing research instruction to graduate students. Their creativity and expertise contribute to scientific and scholarly advances by research teams. A successful postdoctoral experience is the culmination of faculty, postdoctoral scholar and university commitment to postdoctoral education.

[Adopted by the Council of Graduate Deans, Winter 1998 meeting.]

Appendix D: Current and Proposed Revision to the Definition of a Postdoctoral

CURRENT DEFINITION

By-law 330 (formerly 106) of the Academic Senate defines a postdoctoral scholar as an individual who:

- has been awarded or has completed the requirements for a doctoral degree (e.g. Ph.D., M.D., D.D.S., Pharm. D., D.V.M., D.P.H., D.N.S., or foreign equivalent) where at least three years of undergraduate study are prerequisite to admission to the graduate degree program;
- has been awarded a Fellowship or Traineeship or equivalent support for studies at the postdoctoral level; and
- will pursue a program of research and training approved by a department or organized research unit and by the Vice chancellor/Dean of Graduate Studies.

PROPOSED REVISION

A postdoctoral scholar is an individual who:

- recently has been awarded or has completed the requirements for a doctoral degree (e.g. Ph.D., M.D. or foreign equivalent) where at least three years of undergraduate study are prerequisite to admission to the graduate degree program;
- will pursue a substantially full time program of advanced training and research (excluding clinical fellowships and residencies in the health sciences) approved by a department or research unit and whose appointment is approved by the Dean of Graduate Studies;
- will train under the direction of a (research) mentor who will provide advanced training to prepare the postdoctoral scholar for an academic/research career;
- will have the expectation of and the opportunity for collaborative and independent research and publication of findings as determined by mutual agreement of the postdoctoral scholar and the mentor;
- will have a temporary appointment usually for a period of one to three years and limited to a period not to exceed five years including postdoctoral experience at other institutions unless by exception of the Graduate Dean.

Appendix E: Postdoctoral Scholar Appointment Titles – Appointment Criteria and Conditions, Salaries, Stipends, and Leaves

Postdocs as a Separate New Group

The Council of Graduate Deans recommends that postdoctoral scholars be constituted as a distinct group of individuals in the University of California. In addition to students, academic employees, staff employees, and house staff, UC would have the group of postdoctoral scholars, which would have its own policies, programs, and benefits. The Council of Graduate Deans makes this recommendation to recognize the nature of postdoctoral education in the University of California and to provide postdoctoral scholars, regardless of fund source, with equitable treatment and benefits to the extent possible under federal and state laws.

Two to Three Appointment Titles

At least two appointment titles are needed for the University to conform with extramural funding agency requirements. One title is needed for postdoctoral scholars who, because they are funded through their mentors' research grants, must be employees and, therefore, require an academic appointment. A second title is needed for postdoctoral scholars funded through fellowships and traineeships from extramural sponsors, most of whom state that the scholars are not considered to be employees. A third title might be needed to track supplemental funding for individual postdocs.

Because employee postdocs must have an academic title, it is recommended that the two to three postdoc appointment titles all be academic titles to clearly and fully identify all postdoctoral scholars. This appointment structure would also parallel the house staff appointment structure where all individuals engaged in clinical training beyond the M.D. are appointed in one of four academic titles specifically set aside for physician trainees.

Criteria for Appointment

1. Appointment to a Postdoctoral Scholar title would require a doctoral degree (e.g., Ph.D., M.D.) or the foreign equivalent where at least three years of undergraduate study are prerequisite to admission to the graduate degree program.
2. At the time of appointment, Postdoctoral Scholars could not have completed more than four years of postdoctoral education, including postdoctoral experience at other institutions.
3. Postdoctoral scholars would be training under the direction of a research mentor who provides advanced training to prepare the Postdoctoral Scholar for an academic/research career.

Conditions of Appointment

1. Appointments would be made at 100% time. Exceptions could be made in unusual circumstances by the Dean of Graduate Studies or Dean's designee for individuals who are unable to pursue full-time study for reasons of health, family responsibilities, or employment external to the University.
2. Postdoctoral Scholar appointments would be temporary and could be made for a period of up to three years. Campuses could specify a minimum period of appointment; e.g., one year.

3. The mentors would carry out substantive annual evaluations of their Postdoctoral Scholars.
4. Appointments as a Postdoctoral Scholar would be limited to a maximum of five years, including time spent in prior postdoctoral appointments at other institutions.
5. Postdoctoral Scholars would ordinarily not be eligible to serve as principal investigators on extramurally-sponsored research contracts or grant, but may be granted an exception by the appropriate campus official in unusual and well-justified circumstances.

Salaries and Stipends

The Postdoctoral Scholar titles would not have set steps as in the current PGR (3240) series. The minimum compensation level preferably would be at least equal to a NIH postdoctoral training grant (September 1998 = \$21,000; proposal for \$26,250 effective October 1998 is under consideration), although the University might establish a lower limit, say \$24,000 per year. Campuses may set higher minima. The maximum compensation level would be equal to 150% of the current maximum PGR level (\$64,152).

Salaries and stipends could be set at any amount within the range based on the individual's qualifications, funding availability, and competitive salaries and stipends paid by other universities. When recommending a stipend or salary for a Postdoctoral Scholar, the chair or director of an academic unit would take into consideration equity among all appointees in the two titles within the academic unit.

Above-scale salary could be granted by the cognizant Dean or designee for well-justified circumstances, such as market conditions. The range would be adjusted each year after a review of postdoctoral salaries and stipends paid by other leading universities and extramural fellowship agencies, of the rise of cost-of-living in California, and of the range adjustment given to other UC academic employees.

Supplements

Departments or mentors are responsible for supplementing stipends of postdoctoral scholars on traineeships or external awards paying less than the minimum stipend, to bring their total compensation up to the minimum stipend, or to comparable salaries within a department or school.

Salary and Stipend Increases

Salary increases could (but would not be required to) be given annually on the basis of academic achievement and in accordance with campus policy. Similarly, stipend increases for Postdoctoral Scholars funded through University discretionary funds may be given annually. Increases for Scholars with stipends funded by extramural agencies will be provided according to the terms and conditions of the agencies.

Salary increases would be recommended by the director or department chair to the Dean of Graduate Studies or the Dean's designee.

Leaves

1. Sick leave with pay would accrue at the rate of one working day (8 hours) per month for full-time appointees—unless the fellowship funding agency has other requirements. For part-time Postdoctoral Scholars, accrual is based on the percent time on salary or stipend status.

Use of accrued sick leave would be governed by APM 710 or extramural agency policy.

2. Vacation leave would accrue at the rate of 8 hours per month for full-time appointees in the first three years of their Postdoctoral Scholar appointment and at 10 hours per month in the fourth and fifth year—unless a fellowship funding agency has other requirements. For part-time Postdoctoral Scholars, accrual would be based on the percent time on salary or stipend status.

Use of accrued vacation leave would be subject to the policies in APM 730 or extramural agency policy.

3. Parental leave policies would be established by campuses.

Grandfathering

Current appointees in Title Codes 3240 (Postgraduate Research _____) and 3370 (Visiting Postgraduate Research _____ or Visiting Postdoctoral Scholar) would be permitted to remain in their current titles so long as they continue to meet the old conditions for extensions of their appointments. Departments could also have the option, with the appointee's approval, to propose the appointee for the Postdoctoral Scholar – salaried title if the individual has the qualifications and is engaged in postdoctoral study and research supervised by a mentor.

Current postdocs whose compensation levels are lower than the proposed minimum level could remain at their current level until July 1, 1999. At that time, the PI would be required to raise the compensation level to conform with the minimum compensation level.

The University will need to make a decision about whether title code 3240 should be retained or abolished for those individuals who do not meet the qualifications for a Postdoctoral Scholar appointment. Title code 3240 currently is used by some campuses for individuals making academic contributions to research programs who do not have a doctoral degree. One option would be to grandfather these people and not permit any new appointments in these two title codes. Non-Ph.D.s who would have previously been appointed as Postgraduate Researchers would be recommended instead for Specialist (an academic title) or Staff Research Associate, or Development Engineers (staff titles). A second option would be to keep title code 3240 and perhaps change the name to make clear its distinction from Postdoctoral Scholars and write new specifications for it in the Academic Personnel Manual.

PGR – Student Title Code

The above recommendations do not apply to title code 3241, Postgraduate Research ____ - Student, because the title is restricted to graduate students. Currently, Davis, Riverside, and San Francisco use this title for advanced graduate students engaged in research. At this time, COGD does not recommend any change in current UC-wide policies with regard to this title—except to rewrite APM 350 to cover student PGRs and, if it is decided to retain title code 3240, non-student PGRs.

Campus Options

Campuses would have the option to establish policies and practices that are stricter than those recommended above. For example, campuses could establish higher minimums than the bottom of the Postdoctoral Scholar salary/stipend range or lower maximums than the top of the salary/stipend range. Similarly, campuses would have the option to require annual reviews and merit increases for Postdoctoral Scholars who were performing satisfactorily.