I. Purpose

This section outlines regulations governing appointment of matriculated graduate students to academic positions and policies for the appointment of nonstudents to the Postgraduate Researcher title. This section should be used in conjunction with other policies applicable to these titles.

II. General Policies and Regulations

A. The Office of Graduate Studies has campus oversight responsibility for this section of the Academic Personnel Manual, for reviewing and monitoring appointments of graduate students in academic titles, Postgraduate Researchers, and Visiting Postdoctoral Scholars, and to ensure compliance with its provisions.

B. The Office of Graduate Studies reviews petitions for exception to policy regarding academic qualifications and quarters of appointments in the hiring of graduate students for academic appointments.

C. The Office of Graduate Studies is responsible for generating and forwarding to deans' offices Post-Audit Notification (PAN) reports related to graduate students' employment in academic titles. The reports provide the deans' offices and departments the information needed to assure that academic appointments to titles under the authority of Graduate Studies are consistent with policy and procedure.

D. The Office of Graduate Studies maintains a central Web site (http://gradstudies.ucdavis.edu/) that provides information and services to graduate students, academic departments, and deans' offices with respect to employment in academic titles under the authority of Graduate Studies. The Web site also provides a central posting of available and potential positions.

E. The deans of colleges and schools have responsibility for approving appointments of graduate students to academic positions.

F. Employing departments shall ascertain that prospective appointees meet the eligibility requirements before allowing the appointee to begin service.

III. Graduate Student Eligibility General Requirements

A. Registration status

1. Any matriculated student must be a full-time registered graduate student (12 units) during the entire period of appointment to the titles covered in this section.

2. Matriculated graduate students may not transfer to a staff title as a means of avoiding registration requirements.
3. Students in nonregistered status (Planned Educational Leave Program [PELP] or Filing Fee) will be allowed to hold an academic appointment for one quarter while on PELP or one quarter on Filing Fee status during their academic career.

4. Eligibility requirements apply to appointments in Fall, Winter, and Spring quarters only. Continuing graduate students do not need to be registered during the summer. Incoming graduate students may be hired as a Graduate Student Researcher, provided they have filed a Statement of Intent to Register with Graduate Studies (UCD Directive 03-037). Appointments during summer sessions are not counted in calculating the quarters of employment.

B. GPA and student status requirement

The appointee must have a minimum cumulative grade point average of 3.00 in previous graduate work if a continuing student, or in the last two years of upper division work if a new graduate student, and be in good academic standing in order to be appointed to these titles.

C. Standard dates of appointment

When appointing graduate students, standard dates should be used in order for eligibility requirements to be determined and student benefits to be provided.

- Fall quarter: 10/1 to 12/31
- Winter quarter: 1/1 to 3/31
- Spring quarter: 4/1 to 6/30
- Summer: 7/1 to 9/30

Appointments may not take effect before the first day of the first quarter in which the appointee registers as a graduate student.

D. Percentage of appointment

Any single appointment or combination of appointments is not to exceed half-time (50%) during the academic year, except for periods between quarters, including the summer months, when an additional appointment may be added to increase the student to full-time (100%) if funding is available. Any single appointment or combination of appointments may not be less than 25%.

E. Limits on quarters of employment

1. The number of quarters for which a graduate student may be appointed to academic titles is tied to normal academic progress.

2. Graduate students may be appointed a maximum of 9 quarters in one or a combination of academic titles prior to advancement to candidacy. Students should provide a copy of their certificate of advancement to candidacy to the hiring department when being appointed in their tenth quarter of registration or later.

3. Graduate programs may apply for blanket exceptions to this policy on behalf of their students. This exception is usually based upon curricular considerations that preclude students in the program from advancing to candidacy within 9 quarters.

4. Students may be appointed up to 15 quarters without petitioning for an exception to policy.
The 15-quarter total eligibility limit applies separately to titles in the teaching series (Reader, Tutor, Nursery School Assistant, Community Teaching Fellows, Teaching Assistant, Associate In ...) and titles in the research series (Research Assistant, Student Postgraduate Researcher, Graduate Student Researcher). Appointments for quarters 16 through 18 will require a petition of exception to policy request prior to the student beginning the appointment.

5. A student may not be appointed to any combination of titles in the teaching series for more than 18 quarters. A student may not be appointed to any combination of titles in the research series for more than 18 quarters.

F. Petitions for exception to policy (PEP)

1. Requests for appointments not meeting the academic eligibility requirements or exceeding quarters of appointment limitations for any position covered in this section should be directed to the appropriate Graduate Program Liaison in the Office of Graduate Studies.

2. Requests for such exceptions should be submitted on the Petition of Exception to Policy for Graduate Student Appointment form at http://gradstudies.ucdavis.edu/forms/pep.pdf.

G. Appointment materials

1. The following materials are required for all initial appointments:
   a. Hire Document (IDOC) in the Payroll/Personnel System (PPS), signed by employee with PAN comments attached.
   d. Pay Disposition Form (UCDPAY 1). Available at http://accounting.ucdavis.edu/Forms/.
   e. Withholding Allowance Certificate (Form W-4/DE-4). Order from Storehouse, Calcode 71443-172.
   g. Biography for Academic Personnel (U 1501). Retain the biography in the department file. Order from Storehouse, Calcode 71443-104.
      Note: The Schools of Medicine and Veterinary Medicine have slightly different biography form requirements. Contact the appropriate dean's office for information.
   h. Graduate Student Eligibility Checklist (graduate students only). Retain in the department file. Available at http://gradstudies.ucdavis.edu/salary/elig.pdf.
   i. Workers’ Compensation Physician Designation. Available at http://www.hr.ucdavis.edu/Forms/. The student is not required to complete the form.
Departments are required to ensure students have received the form.

2. The following materials may be required for rehire appointments:
   a. Oath/Patent Acknowledgment (UPAY 585) if the original was not signed within one year of the rehire date.
   b. Employment Eligibility Verification (I-9) if the original was signed more than three years prior to the rehire date.
   c. Withholding Allowance Certificate (W-4/DE-4) only if the information in PPS is outdated.
   d. Pay Disposition Form (UCDPAY 1) only if the information in PPS is outdated.

3. If the person being hired or rehired is a nonresident alien, these additional forms must be completed:
   c. IRS Tax Treaty Statements Form if there is a tax treaty. Additional information is available at http://www.ucop.edu/ucophome/cao/paycoord/taxcvr.html.

IV. Graduate Student Teaching Title Codes

Students employed in the following graduate student title codes, currently in use on the Davis campus, are members of the bargaining unit represented by the Association of Graduate Student Employees/United Auto Workers (AGSE/UAW), effective April 1, 2000.

1501
1506
1511
2286
2288
2289
2305
2310
2500
2850
2860
Associate In ___ (Academic Year)
Associate In ___ (Academic Year 1/9)
Associate In ___ (Fiscal Year)
Nursery School Assistant
Remedial Tutor I
Remedial Tutor II
Community Teaching Fellow
Teaching Assistant
Reader - Non-Student
Reader - Student
Graduate Tutor

All appointments to these title codes must be in accordance with the provisions of the contract between the University of California and AGSE/UAW (available at http://gradstudies.ucdavis.edu/facstaff/asemain.htm).

A. Benefits

1. Fee remissions

   a. Provided the appointment is at least 25% for the entire quarter, appointees in these titles are eligible for fee remission in accordance with the UC and AGSE/UAW agreement. Students on PELP or Filing Fee are not eligible for a fee remission.

   b. If a student appointee terminates employment, the student will receive a fee remission in proportion to the time employed. In no case will the fee remission exceed the fees charged by the Registrar. To simplify the process, the remission amount is tied to 4-week periods:

      - If termination takes place between the first day of week 1 through the end of week 4, the student will receive 1/3 of the fee remission.
      - If termination takes place between the first day of week 5 through the end of week 8, the student will receive 2/3 of the fee remission.
      - If termination takes place between the first day of week 9 through the end of week 12, the student will receive the full fee remission.

2. Vacation

   Of the above teaching titles, all except title code 1511 Associate In ___ (fiscal year), are academic-year titles and do not accrue vacation per APM 730. Title code 1511 is a fiscal-year appointment and therefore appointees are eligible for vacation accrual and leave.

3. Sick leave

   In accordance with APM 710, these titles are not eligible for sick leave but may be eligible for leaves of absence in accordance with APM Section V, Benefits and Privileges (http://www.ucop.edu/acadadv/acadpers/apm/sec5-pdf.html).

B. Criteria for appointment

   An appointee in these titles must meet the criteria outlined in III, above.

C. Teaching Assistant

   See also APM 410, Student Teachers.
1. Definition

A Teaching Assistant is a registered graduate student in full-time residence, chosen for excellent scholarship and for promise as a teacher, and serving an apprenticeship under the active tutelage and supervision of a regular faculty member.

2. Additional criteria for appointment

No student may serve as a Teaching Assistant in a course in which he/she is enrolled [Academic Senate Regulation 750(E)].

D. Associate In ___

1. Definition

An Associate In ___ is a teacher employed temporarily to conduct the entire instruction of a lower division course or of a group of students in a lower division course. An Associate In ___ may conduct the entire instruction of an upper division course only with the prior written approval of the Chair of the Academic Senate Committee on Courses of Instruction [Academic Senate Regulation 750(B)].

2. Additional criteria for appointment

The minimum qualifications for appointment to the title Associate In ___ shall be in possession of a master's degree and at least one year of teaching experience, including any time served as a Teaching Assistant. Completion of 30 units of graduate work will be considered equivalent to completion of a master's degree.

E. Reader

See also APM 420, Reader.

1. Definition

The title Reader is given to a student employed for the ability to render diverse services as a "course assistant," which will normally include the grading of student papers, and examinations. A Reader will not be given the responsibilities customarily accorded a Teaching Assistant.

2. Additional criteria for appointment

a. Appointment of nonstudents as Readers may be approved on a case-by-case basis, but only if a qualified student is not available.

b. A student may not serve as a Reader in a course in which he/she is enrolled [Academic Senate Regulation 750(E)].

c. A student on PELP or Filing Fee who has exhausted his/her one quarter of appointment may not be employed as a nonstudent Reader or Tutor.

F. Graduate Tutor
The Graduate Tutor is a full-time registered graduate student who works with individual students or small groups of students to assist them in their learning. Material covered may be topical in nature or related to a specific course. Tutors may keep regularly scheduled drop-in hours for student consultation and tutoring. Tutors do not grade tests, papers, or other student assignments and do not work under the direct supervision of a faculty member. A Graduate Tutor will not be given the responsibilities customarily accorded to a Teaching Assistant. Tutors are paid on an hourly basis for hours worked and recorded on their timesheet.

V. Graduate Student Research Title Codes

Students are employed in the following graduate student research title codes currently in use on the Davis campus.

3241
3282
3299
Student Postgraduate Researcher
Graduate Student Researcher
Research Assistant

A. Benefits

1. Fee remission
   a. Graduate students must be appointed in a research title for at least 25% time for the full quarter with the appointment effective within the first week of the quarter in order to be eligible for a remission of fees. Students on PELP or Filing Fee are not eligible for a fee remission.
   
   b. If a student appointee terminates employment, the student will receive a fee remission in proportion to the time employed. In no case will the fee remission exceed the fees charged by the Registrar. To simplify the process, the remission amount is tied to 4-week periods:
      
      • If termination takes place between the first day of week 1 through the end of week 4, the student will receive 1/3 of the fee remission.
      
      • If termination takes place between the first day of week 5 through the end of week 8, the student will receive 2/3 of the fee remission.
      
      • If termination takes place between the first day of week 9 through the end of week 12, the student will receive the full fee remission.

2. Vacation

Graduate Student Research title codes are fiscal-year appointments and therefore eligible for vacation accrual and leave in accordance with APM 730.

3. Sick leave

In accordance with APM 710, Graduate Student Research titles are not eligible for sick
leave, but may be eligible for leaves of absence in accordance with APM Section V, Benefits and Privileges (http://www.ucop.edu/acadadv/acadpers/apm/sec5-pdf.html).

B. Criteria for appointment

See also APM 410, Appendices A and B.

An appointee in these titles must meet the criteria outlined in III, above.

C. Research Assistant

The Research Assistant title will no longer be used at UC Davis, effective Fall 2003.

1. Definition

A Research Assistant is a graduate student with high scholarship standing who serves with or without salary but whose appointment must be part-time. This appointee does research under the direction of a faculty member and may or may not collaborate in the publication of research as determined by the faculty member directing the work (APM 112).

2. Academic credit for research

It is permissible for departments to grant course 299 credit to students for work done on a Research Assistantship, provided research performed is to meet the degree requirement.

D. Student Postgraduate Researcher

The Student Postgraduate Researcher title will no longer be used at UC Davis, effective Fall 2003.

See also APM 350, Postgraduate Research (___).

1. Definition

a. This title is not intended as an entry level into the professional research series, although it is possible to advance into that series when and if the appointee meets the qualifications (APM 350).

b. Student appointments to this title are generally made only for students who are engaged in research.

2. Criteria for appointment

Appointments to Steps I-VI in this title require the minimum of a bachelor's degree.

3. Steps within title series

a. There are ten steps within this title code. In order to establish campuswide equity in the use of these steps, the Office of Graduate Studies follows these criteria:

   Step I—an appointee with a bachelor's degree, with less than one year of graduate
study and without extensive appropriate work experience.

Step II--an appointee with one year or more of graduate study or extensive appropriate work experience, but without a master's degree.

Step III--an appointee who has completed a master's program but has not yet been advanced to candidacy for the Ph.D. degree.

Step IV--an appointee who has been advanced to candidacy for the Ph.D. degree.

Step V--an appointee who has completed all requirements for the Ph.D. degree, but who has no more than two years of postdoctoral employment.

Step VI--an appointee who holds the Ph.D. degree and has at least one year of postdoctoral employment.

Steps VII-X require a doctorate or its equivalent.

A student is not eligible for appointment to Steps VI-X.

b. Appointees are eligible for consideration for merit increase after two years in a particular step or after completion of academic progress that would entitle them to the higher step. Specific procedures for merit recommendations may vary among colleges and schools. Contact the appropriate dean's office for instructions.

c. Graduate students who have completed a professional degree in medicine or veterinary medicine ordinarily enter the series at Step IV and reach Step VI after completion of a master's degree or advancement to candidacy for the Ph.D. degree.

E. Graduate Student Researcher

1. Definition

A Graduate Student Researcher is a graduate student who performs research related to the student's degree program in an academic department or research unit under the direction of a faculty member or authorized principal investigator (APM 112). Effective Fall 2003, the Graduate Student Researcher replaces both the Research Assistant title and the Student Postgraduate Researcher title at UC Davis.

2. Academic credit for research

It is permissible for departments to grant course 299 credit to students for work done as a Graduate Student Researcher, provided research performed is to meet the degree requirement.

3. Compensation plan

a. Graduate programs (departmentally based or graduate groups) are required to create a compensation plan for their students and submit it to their dean's office, or the appropriate "lead dean" if a group-based program, for approval and provide the Office of Graduate Studies with a copy.
b. The compensation plan must incorporate the following items:
   1) The rationale for their plan.
   2) The initial step in the title code for hiring.
   3) Qualifications the student needs to meet to be hired, over and above those specified in this document.
   4) Qualifications the student needs to meet in order to advance to a higher step in the title, if specified.

c. Graduate programs should review the plans on a regular basis for adequacy and update them as required. Updated plans must be submitted to the appropriate dean's office for approval and a copy provided to the Office of Graduate Studies.

d. Programs not filing a compensation plan will use the default plan outlined below and begin students at Step I.

   Step I--an appointee with a bachelor's degree, with less than one year of graduate study and without extensive work experience.

   Step II--an appointee with one or more years of graduate study or extensive appropriate work experience but without a master's degree.

   Step III--an appointee who has completed a master's degree but not yet advanced to candidacy.

   Step IV--an appointee who has advanced to candidacy for the Ph.D. degree.

   Step V--an appointee who has advanced to candidacy for the Ph.D. degree and has completed at least one year of dissertation research.

   Steps VI-X--an appointee who has completed dissertation research but has not completed the final defense of the dissertation or filed appropriate documentation of completion of requirements for the degree with the Office of Graduate Studies.

VI. Nonstudent Title Codes

The Office of Graduate Studies is responsible for oversight of nonstudents employed in the following title codes currently in use on the Davis campus.

3240
3370 Postgraduate Researcher
Visiting Postdoctoral Scholar

A. Postgraduate Researchers

See APM 350, Postgraduate Research (___).

1. Definition
a. Appointees to this position are engaged in research.

b. This title is not an entry level into the professional research series, although it may be possible to advance into that series when and if the appointee meets the qualifications (APM 350).

c. Students may not be appointed to this title, including those students in a nonregistered status.

2. Criteria for appointment

a. There are 17 steps within this title. In order to establish campuswide equity in the use of these steps, the Office of Graduate Studies follows these criteria:

Step I—an appointee with a bachelor's degree, with less than one year of graduate study and without extensive appropriate work experience.

Step II—an appointee with one year or more of graduate study or extensive appropriate work experience, but without a master's degree.

Step III—an appointee who has completed a master's program but has not yet been advanced to candidacy for the Ph.D. degree.

Step IV—an appointee who has been advanced to candidacy for the Ph.D. degree.

Step V—an appointee who has completed all requirements for the Ph.D. degree, but who has no more than two years of postdoctoral employment.

Step VI—an appointee who holds the Ph.D. degree.

Steps VII-XVII require a doctorate or its equivalent and at least one year of postdoctoral employment.

b. Appointments into Steps VII-XVII require prior approval from the Associate Dean--Programs, Office of Graduate Studies.

c. Appointees are eligible for consideration for merit increase after one year in a particular step or after completion of academic progress that would entitle them to a higher step. Specific procedures for merit recommendations may vary among colleges and schools. Contact the appropriate dean's office for instructions.

d. Appointees in the School of Veterinary Medicine who have completed a professional degree may be appointed as follows:

Step XI—an appointee who has completed the DVM or equivalent, but less than one year toward a master's degree.

Step XII—an appointee who has completed the DVM or equivalent, with more than one year of graduate school or extensive experience.

Step XIII—an appointee who has a Ph.D. and at least one year of postdoctoral
employment.

e. Petitions for exception to policy for nonstudent title codes need to be submitted in letter format from a faculty member to the Associate Dean—Programs, Office of Graduate Studies.

3. Benefits

a. The nonstudent Postgraduate Researcher title is a fiscal-year appointment and therefore eligible for vacation accrual and leave in accordance with APM 730.

b. This title is eligible to accrue sick leave in accordance with APM 710. An appointee to this title may also be eligible for leaves of absence in accordance with APM Section V, Benefits and Privileges.

c. Depending upon the length and percentage of appointment, appointees to the nonstudent Postgraduate Researcher title may be eligible for medical, dental, vision, and retirement benefits. Contact the Benefits Office for further information.

B. Visiting Postdoctoral Scholar


VII. Further Information

A. Additional related policy not cited elsewhere in this section includes:

   a. Section 561, Removal Expenses/Assistants.
   b. Section 720, Leaves of Absence/Holidays.
   c. Section 751, Leaves of Absence/Military Leave.

2. TA Handbook (available from the Teaching Resources Center).

   a. Payroll Deductions for Student Academic Teaching Appointments.
   b. Graduate Student Health Insurance Program (GSHIP).
   c. Tax Information for Graduate Students.

B. Further information concerning policies and procedures may be obtained from the Office of Graduate Studies.