

UC Davis Academic Personnel Manual

Appointment and Promotion

Section UCD APPENDIX II-B, Appointment of Graduate Students to Academic Positions

Date: 3/18/19

Supersedes: 5/17/13

Responsible Department: Graduate Studies

I. Purpose

This section outlines regulations governing appointment of matriculated graduate students to academic positions. On the Davis campus, graduate students are most commonly appointed to the following academic titles: Graduate Student Researcher (GSR), Associate In___ (AI), Teaching Assistant (TA), Reader, and Tutor. The titles AI, TA, Reader and Tutor are covered by a collective bargaining agreement.

(<https://ucnet.universityofcalifornia.edu/labor/bargaining-units/bx/contract.html>). GSRs are not covered by agreement. This section should be used in conjunction with all 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, and ensuring compliance with its provisions.
- B. Graduate student appointments adhere to and abide by policies and procedures that have been established by the Academic Senate - Graduate Council, Academic Senate – Committee on Courses of Instruction, the Office of Graduate Studies, the Academic Affairs office, and the Office of the President.
- B. The Office of Graduate Studies reviews petitions for exception to policy regarding academic qualifications and conditions of appointments in the hiring of graduate students for academic appointments.
- C. The Office of Graduate Studies maintains a central Web site (<https://grad.ucdavis.edu/>) that provides information and services to graduate students, academic departments, and deans' offices with respect to appointment in academic titles under the authority of Graduate Studies. The Web site also provides a central posting of available and potential positions.
- D. The deans of colleges, schools and divisions have responsibility for approving appointments of graduate students to academic positions consistent with all applicable policies.
- E. 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. **Course-Work-Only status.** Students admitted to the University of California, Davis in Course-Work-Only (CWO) status are limited to one quarter of eligibility for appointment in a student teaching or research title.

3. **Filing Fee status.** Graduate students on Filing Fee status may be appointed to a student academic title for a maximum of one quarter.
4. **Planned Educational Leave (PELP).** Appointment to a student academic title while on Planned Educational Leave Program (PELP) is not permitted.
5. **In Absentia status.** Graduate students may be appointed to a research title while registered In Absentia; appointment to a teaching title while registered In Absentia is not permitted.
6. **Academic appointments after completion of degree.** Registered and enrolled students who are degree recipients may hold a graduate student appointment through the end of the last month of the quarter in which they receive their terminal degree. Recipients of a fall terminal degree may work through December 31, winter terminal degree may work through March 31, and spring terminal degree may work through June 30.
7. **Non-Students / Undergraduates.** Graduate student academic appointments are reserved for UC Davis graduate students. Undergraduate or non-UC Davis students may be hired as Teaching Assistants (TA) if the department has been unsuccessful in recruiting a qualified Davis graduate student. The appointment of undergraduates or non-students as TAs will be approved only under rare and compelling circumstances. Approval for appointment of an undergraduate or non-UC Davis student TA must be obtained through the Academic Senate - Committee on Courses of Instruction.

Undergraduate students appointed to TA positions receive fee and tuition remission in accordance with the collective bargaining agreement:

<https://ucnet.universityofcalifornia.edu/labor/bargaining-units/bx/contract.html>.

Approval for appointment of a non-student Reader must be approved by the Office of Graduate Studies through a Petition for Exception to Policy (PEP). The request for exception must include assurances that the hiring department has made a concerted effort to first locate a qualified UC Davis academic graduate student for the position. The hiring department must verify the qualifications of the non-student for the position.

8. **UC Intercampus Exchange Program students.** Appointment of a graduate student from another UC campus into a teaching or research position must be approved by Graduate Studies using a Petition for Exception to Policy (PEP). The request for exception must include assurances that the hiring department has made a concerted effort to first locate a qualified UC Davis academic graduate student for the position. Graduate students who are registered and enrolled in at least 12 units on another UC campus — even if they are not participating in the UC Intercampus Exchange Program — are eligible to hold graduate student academic appointments on the Davis campus, and they may be eligible to receive fee and tuition remission. To hold an appointment at UC Davis, a student must be registered and enrolled in the corresponding term at their home UC campus. Graduate students who are registered and enrolled at other UC campuses and hold eligible appointments at Davis are also eligible for fee and tuition remission at an amount not to exceed that for a UC Davis academic graduate student. Davis hiring units must request through Student Accounting an inter-campus transfer of remissions via a financial journal.
9. **Professional School students.** Appointment of a student enrolled in a state-funded professional degree program not under the direct auspices of Graduate Studies (JD, MD, DVM, MBA) to a teaching or research title outside of the corresponding professional degree program must be approved by Graduate Studies using a Petition for Exception to Policy (PEP). The request for exception must include assurances that the hiring department has made a concerted effort to first locate a qualified non-professional UC Davis academic graduate student for the position. Professional degree students appointed outside of their programs receive fee and tuition

remission in accordance with any bargaining agreements and campus policies regarding remission of tuition and fees.

10. **Self-Supporting Program students.** Students enrolled in self-supporting programs may be appointed in a graduate teaching or research title that is funded by extramural or self-supporting degree program funds. Appointment of a student enrolled in a self-supporting graduate degree program to a teaching title in a state-supported program must be approved by Graduate Studies using a Petition for Exception to Policy (PEP). The request for exception must include assurances that the hiring department has made a concerted effort to first locate a qualified UC Davis academic graduate student enrolled in a state-supported program for the position. Because students in self-supporting degree programs do not pay required University fees and tuition, they are not eligible for fee and tuition remission.
11. **Education Abroad Program (EAP) students.** EAP students are admitted to UC Davis thus are eligible for student academic appointments.
12. **Summer Registration.** Eligibility requirements apply to appointments in Fall, Winter, and Spring quarters only. Continuing graduate students do not need to be registered during the summer in order to hold an academic appointment. Incoming graduate students may be hired as a Graduate Student Researcher during the Summer preceding their first fall term, provided they have filed a Statement of Intent to Register with Graduate Studies. Appointments during summer sessions are not counted in calculating the quarters of employment.

B. GPA and student status requirement

1. **GPA and student standing.** 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 AI, GSR, TA, Reader and Tutor titles.
2. **Academic Probation.** Graduate students may not be appointed while on Academic Probation due to low GPA, excessive units of incomplete, failing or unsatisfactory grades, or while making unsatisfactory progress towards the degree. Exceptions to the GPA requirement require approval by the Office of Graduate Studies using a PEP and will normally be granted only for newly admitted students in their first or second quarter of enrollment.
3. **Students with staff appointments.** Graduate students may be hired in staff titles in accordance with Staff Personnel regulations. UC career employees who have become graduate students may maintain their career positions at up to 100% time. However, once an employee accepts a student academic appointment or fellowship, he or she becomes subject to restrictions governing appointments and fellowships. UC career employees who become graduate students may also be eligible for the Reduced Fee Enrollment Program; questions regarding this program should be directed to Human Resources.
4. **Volunteers.** Students may not hold any graduate student academic title as volunteers. Academic appointees must be appropriately compensated through the Davis payroll system for their time and effort.

C. Standard dates of appointment

When appointing graduate students, standard pay dates must be used in order for eligibility requirements to be determined and student benefits to be provided. Exceptions are only made for good cause and with prior approval from the Office of Graduate Studies. Academic student employees may have different service period and pay period dates. An ASE service period may

begin at the start of the academic quarter and end three days after the end of the quarter, however, the pay periods will remain standard as listed below.

Fall quarter:	Winter	10/1 to 12/31	1/1 to 3/31
quarter:	Spring	4/1 to 6/30	
quarter:	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. New students entering in the fall quarter may begin GSR appointments on July 1 if they have submitted a Statement of Intent to Register (SIR) on or before that date, subject to all relevant appointment regulations. If the student has not submitted the SIR on or before July 1, the student may not be hired until the date that the SIR has been submitted.

D. Percentage of appointment

1. Any single appointment or combination of appointments normally is not to exceed half-time (50%) during the academic year. Any single appointment may not be less than 25%.

Appointments in the range of 1-20 percent time are permitted provided they supplement other compensation (e.g. a fellowship or existing 25% single graduate student appointment) that does not rise to the level of support expected by the graduate program; a PEP is not required. There may not be any appointments ranging from 20.01-24.99 percent time.

2. By exception to policy, full-time enrolled graduate students in good academic standing, who are not international students on a F1 or J1 visa, are eligible to be appointed up to a maximum of 75% time during a regular academic term if sufficient funding is available; a Petition for Exception to Policy is not required. No student may be appointed in a graduate student title or combination of titles in excess of 75% time during a regular academic term.
3. Graduate students, including international students on a F1 or J1 visa, may be appointed up to 100% time during the Summer, and during the Winter and Spring breaks if funding is available. Registration in Summer Session classes is not required to hold an appointment during the Summer. However, continuing students who hold summer academic appointments must either have been registered for the previous Spring quarter or be registered for the following Fall quarter. Students who have withdrawn in Spring must be readmitted and register for Fall before they can hold a summer appointment.
4. During the Summer, appointments at greater than 50% may begin on the day following the last day of the Spring quarter, but must end no later than September 30th. Appointments greater than 50% during the Winter break may begin on the day following the last day of the fall quarter, but must end prior to December 31st. Appointments greater than 50% during the Spring break may begin on the day following the last day of the Winter quarter, but must end no later than March 30th.
5. UC career employees who have become graduate students may maintain their career positions up to 100% time.

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 for a maximum of 18 quarters in any combination of teaching titles (Teaching Assistant, Associate In_, and Reader) during regular academic quarters. No student may be employed beyond 18 quarters in any combination of teaching titles. (APM 410-17.c.)
3. Graduate students may be appointed for a maximum of 21 regular academic quarters in a research title (GSR). No student may be employed beyond 21 quarters in a research title.
4. Summer appointments are not included as quarters for purposes of computing the quarter limits.
5. Non-Renewal. It is within the university's sole discretion to appoint, reappoint, or not reappoint a graduate student employee. An academic student appointment is for one academic year or less, and is self-terminating. The term of appointment will be specified in the appointment notification.

F. Petitions for exception to policy (PEP)

1. Requests for appointments not meeting the academic eligibility requirements for any position covered in this section should be directed to the appropriate Student Affairs Officer in the Office of Graduate Studies.
2. Requests for such exceptions should be submitted on the Petition for Exception to Policy for Graduate Student Appointment form at <https://grad.ucdavis.edu/current-students/forms-information>.

G. Appointment materials

1. New hire forms and documents as required by payroll and personnel systems.
2. Appointment notification letter. A sample teaching title (ASE) appointment letter may be found at <https://hr.ucdavis.edu/forms>; see Exhibit A for the sample appointment letter for GSRs.

IV. Graduate Student Teaching Titles

Students employed in the following graduate student title codes, currently in use on the Davis campus, are members of a collective bargaining unit, effective April 1, 2000.

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

All appointments to title codes covered by the collective bargaining agreement must be in accordance with the provisions of the contract (available at <https://ucnet.universityofcalifornia.edu/labor/bargaining-units/bx/contract.html>).

A. Benefits

1. Tuition and Fee remissions

- a. Provided the appointment is at least 25% for the entire quarter, appointees in these titles are eligible for partial tuition and fee remission in accordance with the collective bargaining agreement. Students on Filing Fee are not eligible for tuition and fee remission.
- b. If a student appointee terminates employment, the student will receive tuition and fee remission in proportion to the time employed. In no case will the tuition and fee remission exceed the tuition and 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 tuition and 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 tuition and 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 tuition and 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 the collective bargaining agreement.

B. Criteria for appointment

An appointee in these titles must meet the criteria outlined in III, above. Students may not simultaneously serve as a TA/AI and a Reader or Tutor for the same course. A student, regardless of student registration status, may not be employed in a non-student title or other academic title not reserved for students.

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 faculty member.

2. Additional criteria for appointment

No student may serve as a TA in a course in which he/she is enrolled. [

D. Associate In ____

1. Definition

An Associate In __ is a registered graduate student of excellent scholarship and teaching promise who is employed temporarily as teacher 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.

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. A student may not serve as a Reader in a course in which he/she is enrolled.

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 Titles

Students are employed in the following graduate student research title code currently in use on the Davis campus:

3282 Graduate Student Researcher

A. Benefits

1. Tuition and Fee remission

- a. Graduate students must be appointed in a research title for at least 25% time for the full quarter in order to be eligible for a remission of tuition and fees, as well as non-resident supplemental tuition, when applicable. Students on Filing Fee status are not eligible for tuition and fee remission.
- b. If an appointment is terminated, the student will receive a tuition and fee remission in proportion to the time employed. In no case will the tuition and fee remission exceed the tuition and 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 tuition and 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 tuition and 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 tuition and 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.

A student appointed in a GSR title less than six months, irrespective of percentage time of appointment, does not accrue vacation. A student appointed continuously as a GSR for at least six months and at least 50% time accrues vacation (at a rate of 24 days per year in a 100% time appointment). Actual accrual rate is based upon percentage time of appointment.

When a student is no longer in a vacation accruing title (separating or moving from an accruing to non-accruing title), all terminal vacation must be paid out to the student at the current rate.

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

B. Criteria for appointment

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

Each student appointed as a Graduate Student Researcher must receive from the hiring unit a written notice of appointment (hard copy or electronic mail). Appointment letters should contain the term of the appointment (start and end date), the salary/step, percentage of effort, the supervisor, the funding source and the location of work. (See Exhibit A for an example appointment letter.)

C. Graduate Student Researcher

1. Definition

A Graduate Student Researcher (GSR) 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). GSRs may not be assigned teaching, administrative, or general assistance duties. This does not exclude research-related duties such as quantitative analysis, bibliographic searches or summaries, text editing, lab projects, computer programming, and a reasonable amount of lab maintenance and cleaning.

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 requirements.

3. Compensation plan

a. There are ten salary steps in the GSR title. These steps are defined in the University of California Academic Salary Scales. These tables are maintained by the University of California Office of the President. Salary levels are adjusted by UCOP at the same time and generally in the same percentage as adjustments to other academic salaries, including those of faculty.

b. To be competitive in recruiting the very best students, graduate programs require flexibility in the salary level they may offer graduate students employed as GSRs. Therefore, graduate programs are required to file a compensation plan for approval by the Dean of Graduate Studies outlining the rationale for the plan, the step in the title code they will use for initially hiring students and the program-specific qualifications students will need to meet. The compensation plan should also present the qualifications for students to advance to further steps in the title code and describe which steps the graduate program will use in the advancement process. Compensation plans must specifically identify percentage appointments by step during the academic year and during the summer. Graduate programs should review compensation plans on a regular basis, and no less than every three years, to ensure that salaries offered to students hired in this title are competitive. A copy of the currently approved compensation plan is on file with the Office of Graduate Studies and must also be filed with the appropriate lead dean's office for the graduate program.

c. Programs not filing a compensation plan will use the default plan outlined below:

	Step	Percent
Initial appointment of students with a bachelor's degree only	III	50% academic year 80% summer
An appointee who has completed a master's program but has not yet advanced to candidacy for the doctoral degree	IV	50% academic year 80% summer

An appointee who has advanced to candidacy for the doctoral degree but who has not completed their dissertation research or filed the dissertation with the Office of Graduate Studies	V-VIII	50% academic year 80% summer
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5. Layoff and Involuntary Reduction in Time

It is the responsibility of the supervisor/principal investigator to make reasonable efforts to ensure that potentially affected GSRs are informed of the date of possible layoffs or involuntary reductions in time as far in advance of the layoff or involuntary reduction in time date as is feasible, and in accordance with APM Section 145 of the Academic Personnel Manual. Tuition and fee remission may be affected as noted in section V.A. (Benefits) above.

- a. The supervisor/principal investigator shall attempt to ascertain, at reasonable intervals, the likely ending date of a project or program. If a likely ending date is determined, potentially affected GSRs shall be promptly notified in writing.
- b. If, between reviews of project or program ending dates, the supervisor/principal investigator determines a likely ending date, or determines that there is a reasonable chance that a project or program will end prior to a date previously announced, potentially affected GSRs shall be promptly notified in writing.

6. Notice period

- a. In the event that layoff or involuntary reduction in time is determined to be necessary, the supervisor/principal investigator must give the GSR written notification of layoff or involuntary reduction in time. Except in extremely rare cases of financial emergency the supervisor shall provide notice to the GSR not less than 60 days prior to the separation date.
- b. If a financial emergency as described in [Standing Order 100.4.gg](#) has been declared, the supervisor/principal investigator shall provide notice to the GSR not less than 30 days prior to the separation date.
- c. By exception, in the extremely rare occasion of financial emergency such as a stop work order or other immediate elimination of funding by an external agency, the supervisor/principal investigator may provide notice and terminate the GSR appointment with less than 30 days' notice to comply with the terms of the stop work order.

7. Corrective Action and Dismissal

Information regarding corrective action and dismissal of GSRs can be found in APM 150 of the Academic Personnel Manual.

VI. Further Information

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

- 1. Academic Personnel Manual:
 - a. APM 561, Removal Expenses/Assistants.

- b. APM 720, Leaves of Absence/Holidays.
 - c. APM 751, Leaves of Absence/Military Leave.
 - 2. TA Handbook (available from the Center for Educational Effectiveness,
 - 3. Graduate Studies Graduate Student Resources
 - 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 Graduate Studies.