




UNIVERSITY OF KENTUCKY

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January 3, 2005

MEMORANDUM

TO: Ernie Yanarella
Senate Council Chair

FROM: Mike Nietzel
Provost 

SUBJECT: Proposed Revision to AR II-4.0.1 (Postdoctoral Scholars/Fellows)

The College of Medicine proposes a change in the Administrative Regulations on Postdoctoral Fellows and Scholars and Visiting Scholars [AR II-4.0.1], which would extend to five (5) years the maximum duration of an appointment as a postdoctoral scholar or fellow. The College of Medicine is requesting this change because many postdoctoral scholars and fellows currently spend two or three years at different institutions or in different laboratories at the same institution in order to acquire training sufficient to launch careers in multidisciplinary research areas.

The proposed change, if enacted, would not obligate any other unit to extend the duration of these appointments beyond the current maximum length of three (3) years, although other units may wish to join the College of Medicine in having this extended time frame for these appointments. Nor would this proposed change limit a unit's ability to move a postdoctoral scholar or fellow after three years into a staff position, when such a move is warranted and the funding is available.

The proposal has the support of the council of deans as well as the two relevant committees within the College of Medicine (the Faculty Council and the Postdoctoral Resources Advisory Committee).

I write to seek the Senate Council's advice in this matter.



UNIVERSITY OF KENTUCKY

*put on
SC docket*

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*Take
- wwd. mfg.*

MEMORANDUM

To: David S. Watt, Ph.D.
Chair, Medical Center Academic Council
Associate Provost for Academic Affairs

From: Emery A. Wilson, M.D.
Dean

Date: April 6, 2004

I have attached the Faculty Council recommendation regarding the proposal to change the maximum duration of the appointment of Postdoctoral Fellows and Scholars. Faculty Council solicited input and feedback from the University of Kentucky College of Medicine Postdoctoral Resources Advisory Committee; their report is also attached.

I support the recommended changes to AR II-4.0.1 as proposed by the Faculty Council, and outlined in these reports.

cc: Michael T. Nietzel, Ph.D., Provost
Thomas H. Kelly, Ph.D., Chair Faculty Council

Enclosures

EAW:lma

RECEIVED
APR - 8 2004
OFFICE OF THE PROVOST



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April 5, 2004

Emery Wilson, M.D.
Dean, College of Medicine
University of Kentucky
CAMPUS 0298

Re: Appointment of Postdoctoral Scholars/Fellows

Dear Dr. Wilson:

Faculty Council was asked to evaluate a proposal to change the maximum duration of the appointment of Postdoctoral Fellows and Scholars from a maximum of three years to a maximum of five years. This appointment duration is governed by Academic Regulation AR II-4.0.1. The University of Kentucky College of Medicine Postdoctoral Resources Advisory Committee has considered the merits and concerns of the proposal and has endorsed the plan to increase the maximum appointment duration from three to five years. A copy of their report is attached.

Faculty Council asked the committee to solicit feedback on the proposal from postdoctoral fellows and scholars in the College of Medicine. The committee received opinions from 16 individuals; 15 support extending the maximum duration of appointment to five years.

Faculty Council has considered their report and is unanimously supportive of the proposal. Faculty Council wishes to emphasize that the request is to modify the regulation to permit the option of an appointment of Postdoctoral Scholars/Fellows at the University of Kentucky of up to five years in duration or for five years total in a single field of training. We recognize that there are areas of academia in which postdoctoral training of shorter duration is the norm, and we wish to stress that the change in regulation should not be viewed or interpreted as an endorsement of five-year training assignments.

We recommend that the following two changes be made to AR II-4.0.1:

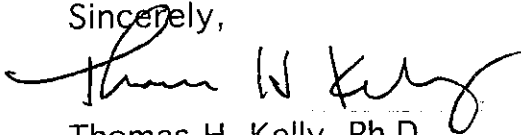
- 1) Part III. B. 2. (page 2): 'Those who previously have served as a postdoctoral scholar or fellow for ~~three~~ **five** years at this University (exclusive of internship or residency training) or for five years total at several

institutions in programs of postdoctoral training in the same field as their proposed additional program of training.'

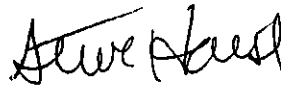
- 2) Part IV. A. (last sentence, page 3): 'As noted previously, appointment as a postdoctoral scholar or fellow in any given field at the University shall be limited to ~~three~~ five years, unless an exclusion endorsed by the appropriate department chairperson or research unit director and college dean is approved by the Vice President for Research and Graduate Studies.'

Thank you for your help in this matter!

Sincerely,



Thomas H. Kelly, Ph.D.
Chair



Steve A. Haist, M.D.
Chair Elect



UNIVERSITY OF KENTUCKY

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and Cellular Biochemistry
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March 15, 2004

Members of Faculty Council,

The University of Kentucky currently limits the tenure of postdoctoral scholars and fellows to three years (five years total when including postdoctoral experience at other institutions). This limit is outlined in AR II-4.0-1, the Administrative Regulations pertaining to postdoctoral scholars and fellows. The University of Kentucky College of Medicine Postdoctoral Resources Advisory Committee has discussed this limitation at length. It is the general consensus of the committee that the three year term should be lengthened to five years and that we support efforts to bring this about. From the point of view of recruiting top-flight postdoctoral scholars, the University of Kentucky is potentially at a disadvantage with a three year limit. Many institutions have increased their postdoctoral terms to five years in light of the increased amount of time required in such positions to be competitive for faculty positions.

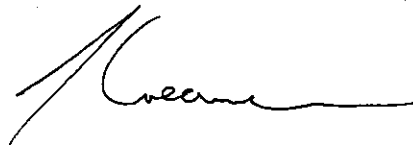
During the course of our discussions a number of points were raised both in favor and against changing the postdoctoral term limit. A number of committee members noted that many postdoctoral scholars have really just reached their full potential in their third year. At that point a faculty member must choose between letting the postdoctoral scholar go, or moving the person into a staff position. The latter option may be prohibitively expensive given that this involves paying substantially more for benefits. This also changes the postdoctoral scholar's situation from that of temporary employee to permanent employee, a change that again has both advantages and disadvantages. In addition, a postdoctoral scholar who applies for and receives a multi-year fellowship in their second or third year is placed in the awkward position of becoming a postdoctoral fellow with funding that extends past the three year limit.

Two major issues were raised against this proposal. The first was that extending the term limit to five years would discourage faculty from moving postdoctoral scholars into staff positions that include benefits. This has been viewed in the past by some scholars as a reward for exceptional work. In any proposal regarding extending the limit we would like to see included a note that this route is still available. A second issue is that of international postdoctoral scholars. Most such individuals hold J-1 visas, which have a maximum term of three years (four years under exceptional circumstances). It was felt that extending the postdoctoral limit to five years could be perceived as being unfair to international postdoctoral scholars. The committee felt that UK should permit a more

flexible training situation for postdocs, regardless of other regulations governing an individual's postdoctoral appointment.

The above issues aside, I would like to reiterate that we favor a proposal to change the current three year postdoctoral term limit to five years.

Sincerely,

A handwritten signature in black ink, appearing to read "T. Creamer". The signature is fluid and cursive, with a long horizontal stroke at the end.

Trevor P. Creamer, Associate Professor
Chair, UKCOM PRAC

ADMINISTRATIVE REGULATIONS
DATE EFFECTIVE 8/18/98
SUPERSEDES REGULATION DATED
4/3/89 4/30/93

**POLICIES AND PROCEDURES RELATIVE TO
POSTDOCTORAL SCHOLARS, POSTDOCTORAL FELLOWS,
AND VISITING SCHOLARS**

[draft of revised policy]

A system to identify and keep an account of postdoctoral scholars, postdoctoral fellows, and visiting scholars pursuing advanced studies, research, and specialized training in the University serves the interests of both the individuals and the University. It defines their status, privileges, and benefits. It enables an assessment of the University's contribution to their training and scholarly activities in terms of faculty time and use of office and laboratory space, equipment, and library facilities. Furthermore, the identification of postdoctoral personnel makes it possible for the University to recognize them by awarding Certificates of Postdoctoral Study. For these reasons, the following policies and procedures have been developed for the appointment of postdoctoral scholars and fellows and for the accommodation of visiting scholars in the University.

I. Jurisdiction

All individuals appointed as a postdoctoral scholar or fellow shall be under the jurisdiction of the Vice President for Research and Graduate Studies. Individuals whose experience and training exceed that of learner or apprentice shall be considered as visiting scholars and are under the jurisdiction of the Chancellor for the Lexington Campus, the Chancellor for the Medical Center, or the Vice President for Research and Graduate Studies, as appropriate.

Certain matters may be delegated by the Vice President for Research and Graduate Studies and the Chancellors to appropriate college deans.

II. Definitions of Postdoctoral Scholar, Postdoctoral Fellow, and Visiting Scholar

A. A postdoctoral scholar is an individual who has an earned doctoral degree and is pursuing an individualized program of advanced training in research, in teaching or other

important aspects of academic work, or in any combination of these activities for which the University has assumed a measure of responsibility. Although participation in the program provides advanced training, service is required as a condition of appointment with salary. A postdoctoral scholar has status both as a non-regular academic staff employee and as a postdoctoral student.

B. A postdoctoral fellow is an individual who has an earned doctoral degree and is a recipient of a fellowship or training award. Through such an award, a postdoctoral fellow receives a stipend or living allowance (not considered as salary) from grant funds provided specifically for a particular field of study or training. No service to the University is required as a condition of receiving the stipend, although service may be rendered incidentally as part of the training or fellowship program. A postdoctoral fellow has status as a postdoctoral student but not as an employee.

C. A visiting scholar is an individual who is pursuing an independent program of research at the University, or is participating in an existing research program, ordinarily while on leave from another professional position. Such an individual is excluded from classification as a postdoctoral scholar or fellow by virtue of the individual's advanced training and experience beyond that of an apprentice or learner. A visiting scholar need not have been awarded a doctoral degree, but is comparable in experience to the resident faculty. A visiting scholar has status as temporary academic staff.

III. Eligibility for Appointment as a Postdoctoral Scholar or Postdoctoral Fellow

A. Postdoctoral scholars and fellows include those persons who have been awarded an earned doctoral degree and are pursuing a program of advanced training and research/scholarship which has been approved by a department or research unit, the appropriate dean, and the Vice President for Research and Graduate Studies. The pertinent department or research unit shall have the responsibility for describing and evaluating the academic credentials of the candidate and the substance of the proposed program.

B. Persons who do not qualify for participation in the University's postdoctoral program include:

1. Those who are students or degree candidates in the same department or research unit, unless otherwise approved by the Vice President for Research and Graduate Studies; and
2. Those who previously have served as a postdoctoral scholar or fellow for ~~three~~ five years at this University (exclusive of internship or residency training) or for five years total at several institutions in programs of postdoctoral training in the same field as their proposed additional program of training. These individuals are presumed to have advanced beyond the apprentice role appropriate to the postdoctoral scholar or fellow title, but they may be eligible for appointment as visiting scholars or possibly to be considered for appointment in one of the faculty title series.

However, since both domestic and foreign predoctoral programs vary in standards and some prior postdoctoral activities provide more specialized and advanced training than others, variation from this exclusion may be justified by special circumstances. Exceptions to this exclusion may be granted by the Vice President for Research and Graduate Studies upon receipt of a recommendation endorsed by the department chairperson or research unit director and the dean of the appropriate college.

IV. Appointments

A. Postdoctoral Scholar or Postdoctoral Fellow

Appointment as a postdoctoral scholar or postdoctoral fellow requires recommendations by the appropriate department chairperson or research unit director and the dean of the pertinent college and approval of the individual's Notice of Appointment form by the Dean of the Graduate School and the Vice President for Research and Graduate Studies. Applications on forms provided by the Office of the Vice President for Research and Graduate Studies shall be made at the time of initiation of the individual's program of training and research. A resident faculty member shall be designated to monitor and evaluate the program undertaken. Department chairpersons and directors of research units shall be responsible for seeing that all individuals presently in the status of postdoctoral scholar or fellow and all future appointees, with approval of the appropriate college dean, shall register promptly in the Graduate School. Principal investigators on research projects who extend offers to potential postdoctoral scholars or fellows shall inform the candidates of the regulations and benefits associated with the pertinent type of postdoctoral appointment and alert the candidates to the necessity for formal registration in the Graduate School. The Vice President for Research and Graduate Studies shall be notified of any changes in the duration of the program from dates included on the initial application form for appointment as postdoctoral scholar or fellow. As noted previously, appointment as a postdoctoral scholar or fellow in a given field at the University shall be limited to ~~three~~ five years, unless an exclusion endorsed by the appropriate department chairperson or research unit director and college dean is approved by the Vice President for Research and Graduate Studies.

B. Visiting Scholar

At the request of the department or research unit with which the visiting scholar will be chiefly associated and on recommendation of the pertinent dean, the appropriate Chancellor or the Vice President for Research and Graduate Studies may provide the individual with a letter of appointment to a temporary academic staff position as visiting scholar. The designation "visiting" in the position title indicates that the individual has a temporary appointment for a term not to exceed one year, subject to renewal in exceptional cases if approved by the appropriate Chancellor or Vice President for Research and Graduate Studies. An appointment as visiting scholar normally is without salary from the University.

V. Compliance of Work Assignment or Training Activities With Purpose of Grant or Contract

Where a postdoctoral position or a visiting scholar position is funded through a grant or contract from an extramural source, it shall be the responsibility of the nominating department or research unit to ensure that the work assignment or training activities of the postdoctoral scholar or fellow falls within the purpose of the grant or contract.

VI. Benefits

A. Postdoctoral Scholars

Postdoctoral scholars, in view of their classification as both students and salaried academic staff, will be eligible for certain benefits but will not be eligible for participation in the University of Kentucky Retirement Plan. They are responsible for all fees except that for basic life insurance and health coverage. Fees will be those currently in force and are subject to change as these may be modified from time to time under the provisions of the contracts as negotiated between the University and various insurance companies. Specifically, they are eligible:

1. For an identification card, indicating clearly the recipient's status as a postdoctoral scholar, issued without fee by the Employee Benefits Office to each individual enrolled as a full-time postdoctoral scholar after a copy of a signed Postdoctoral Scholar Notice of Appointment form or other appropriate documentation of eligibility of the individual has been received from the Office of the Vice President for Research and Graduate Studies. This ID card will enable the recipient to have access to library facilities, recreational facilities, and checkcashing services on campus, and to make purchases with a discount at campus bookstores.
2. To enroll in one of the University of Kentucky employee health plans.
3. To use the Student Health Service by paying the semester health fee (although ineligible to use the student group health insurance plan).
4. To pay the Student Activity Fee each semester which will provide for the following: a Student Identification Card, access to tickets for home football and basketball games and to major concerts sponsored by the Student Activities Board, and admission to Lexington Philharmonic concerts. A valid student identification card also permits the use of library facilities, recreational facilities, and check-cashing service on campus.
5. For coverage by University's basic life insurance program.
6. To enroll in the University's optional life insurance program.
7. To purchase group accident insurance.

8. For coverage under the University's Long Term Disability Plan.
9. For coverage by provisions of Kentucky Workers' Compensation Act.
10. For coverage under the University's Blood Donor Program.
11. For an entitlement to ten working days of vacation leave with pay the first year and to fifteen working days of such leave each year of employment thereafter; however, vacation leave cannot be accumulated from one year to another. Vacation leave is earned at the rate of 0.833 day per month during the first year and 1.25 days per month during each year thereafter. In case of resignation or termination of appointment before the end of a year, there will be an entitlement to terminal vacation pay for unused earned vacation leave within the current year or, if days of vacation taken exceed those earned, a requirement of reimbursement to the University for the number of days of vacation leave used in excess of those earned.
12. For temporary disability leave in accordance with Staff Personnel Policy and Procedure Number 82.0.
13. For holiday leave with pay in accordance with Staff Personnel Policy and Procedure Number 83.0 and the President's Official Holiday Announcement.
14. To apply for an E parking permit.
15. To participate in the voluntary tax-shelter plans offered by the University of Kentucky.
16. To apply for membership in the University of Kentucky Faculty Club.
17. To apply for membership in the Spindletop Hall Faculty, Staff, and Alumni Club.

B. Postdoctoral Fellows

Postdoctoral fellows, in view their status as postdoctoral students but not salaried employees, shall be eligible for certain benefits under stated conditions. They shall be responsible for all fees except those for basic life insurance and health coverage. Fees will be those currently in force and are subject to change as these may be modified from time to time under the provisions of the contracts as negotiated between the University and various insurance companies. Specifically, postdoctoral fellows are eligible:

1. For an identification card, indicating clearly the recipient's status as a postdoctoral fellow, issued without fee by the Employee Benefits Office to each individual appointed as a full-time postdoctoral scholar after a copy of a signed Postdoctoral Fellow Notice of Appointment form or other appropriate documentation of eligibility of the individual has been received from the Office of the Vice President for Research and Graduate Studies. This ID card will enable the recipient to have access to

library facilities, recreational facilities, and checkcashing services on campus, and to make purchases with a discount at campus bookstores.

2. To enroll in one of the University of Kentucky employee health plans.
3. To use the Student Health Service by paying the semester health fee (although ineligible to use the student group health insurance plan).
4. To pay the Student Activity Fee each semester which will provide for the following: a Student Identification Card, access to tickets for home football and basketball games and to major concerts sponsored by the Student Activities Board, and admission to Lexington Philharmonic concerts. A valid student identification card also permits the use of library facilities, recreational facilities, and check-cashing service on campus.
5. For coverage by the University's basic life insurance program.
6. To enroll in the University's optional life insurance program.
7. For coverage under the University's Blood Donor Program.
8. To apply for an E parking permit.
9. To apply for membership in the University of Kentucky Faculty Club.

C. Visiting Scholars

In view of their status as temporary academic staff, visiting scholars shall be eligible for certain benefits under stated conditions. They shall be responsible for all fees, which shall be those in force and are subject to change from time to time under the provisions of the contracts which are negotiated between the University and various insurance companies. Specifically, they are eligible:

1. For an identification card, indicating clearly the recipient's status as visiting scholar, issued without fee by the Employee Benefits Office to each individual appointed as a research scholar after that Office has received a copy of the letter confirming the appointment of the individual as such by the appropriate Chancellor or the Vice President for Research and Graduate Studies. This ID card will enable the recipient to have access to office and laboratory facilities as assigned, library facilities, and check-cashing services on campus, and to make purchases with a discount at campus bookstores.
2. To apply for an E parking permit.
3. To enroll in one of the University of Kentucky employee health plans.
4. To apply for membership in the University of Kentucky Faculty Club.

5. To apply for membership in the Spindletop Hall Faculty, Staff, and Alumni Club.

VIII. Certificate of Postdoctoral Study

Upon satisfactory completion of a postdoctoral program of study as certified by the sponsoring resident faculty member, each postdoctoral scholar or fellow will be issued a certificate signed by the chairperson of the department or director of the research unit with which the individual was primarily associated and by the Vice President for Research and Graduate Studies or the Vice President's designee. This certificate will indicate the field or fields of postdoctoral study, the name of the resident faculty member, and the period for which the postdoctoral scholar was appointed.