

# Postdoctoral Scholar Appointment Exception Request Form

**Instructions for Submission:** This form must be completed by the Faculty Mentor/Principal Investigator (PI) or the Postdoctoral Scholar, routed through the Department Chair or Unit Head, and submitted to the Graduate Division for final review. All requests must be submitted 30 days *prior* to the expiration of the current appointment or the effective date of change; retroactive approvals will not be granted. Incomplete packets will be returned without review.

## Mandatory Threshold Condition Checklist

**CRITICAL REQUIREMENT:** Per UCR policy, requests for either category of exception (listed in sections 1 and 2 below) will not be considered under any circumstances unless an Individual Development Plan (IDP) was established at onboarding and has been maintained/updated at least annually. Check the boxes below to confirm compliance. Submissions lacking active, longitudinal IDP documentation will be administratively returned without review.

| Confirmed                | Required Threshold Element                                                                                                                                                 |
|--------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> | An IDP was established for the postdoctoral scholar at the time of initial appointment.                                                                                    |
| <input type="checkbox"/> | The IDP has been reviewed and updated by both the scholar and faculty mentor no less than annually.                                                                        |
| <input type="checkbox"/> | The submission packet includes: the original IDP, all annual updates, and a current IDP outlining specific milestones/transition plans for the requested exception period. |

## SECTION 1: Sixth-Year Exception Request

**Section Instructions & Policy Criteria:** Postdoctoral appointments across all UC campuses are capped at a cumulative maximum of five years (60 months), inclusive of prior experience at other institutions. A sixth and final year is an absolute maximum and is granted only under unusual, documentable circumstances that disrupted the training arc.

**Valid Grounds (Select at least one):**

- **Significant change in research direction:** Substantial, documented shift in research field/methodology requiring acquisition of new skills or major project redesign (not a normal scope expansion).
- **Structural disruption beyond the scholar's control:** Documented lab relocation, major equipment failure, or loss of essential infrastructure that materially delayed progress.
- **Fellowship structure:** Scholar holds/held an external fellowship with a standard 3-year term that, combined with prior experience, pushes the total beyond 5 years (without a 6th year constituting unrequested time).
- **External completion/publication delays:** Independent delays in peer review, regulatory approvals, or shared facility access must be documented and combined with other valid grounds for exception listed above.

Note: Requests based solely on project scope, faculty convenience, or scholar preference will be denied.

|                                                                                           |                                                                                                                                                                                                                |
|-------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Requested Extension Period:</b>                                                        | Start Date: _____ End Date: _____                                                                                                                                                                              |
| <b>Primary Ground(s) Selected:</b>                                                        | <input type="checkbox"/> Research Direction Change<br><input type="checkbox"/> Structural Disruption<br><input type="checkbox"/> Fellowship Structure<br><input type="checkbox"/> Publication/Regulatory Delay |
| <b>Justification Narrative:</b><br>(Attach formal mentor letter and supporting documents) | Provide a brief summary of the unusual circumstances disrupting the training arc and how the final year will conclude the training. (Attach)                                                                   |

## SECTION 2: Reduced-Effort Exception Request (Completed by the postdoc)

**Section Instructions & Policy Criteria:** Standard appointments are 100% effort. A reduction below 100% may be authorized only on the strictly enumerated grounds listed below.

### Important Policy Disclaimers:

- **No Clock Extension:** Reduced-effort periods **do not** extend the 5-year cumulative clock. Calendar time continues to count in full toward the 60-month limit regardless of effort level.
- **Funding Obligation:** Proof of committed funding must reflect the scholar's actual salary at the approved effort level for the duration of this request.

### Proposed Effort Details:

Current Effort: 100%      Requested Effort %: \_\_\_\_\_  
Effective Dates: From \_\_\_\_\_ to \_\_\_\_\_

### Grounds for Request: (Select one; documentation required)

- ☐ **Medical Accommodation:** Documented medical condition or disability making full effort temporarily/indefinitely untenable.
- ☐ **Caregiving Responsibilities:** Documented obligation (e.g., newborn, newly adopted child, serious family illness) affecting capacity.
- ☐ **Career-Advancing Concurrent Appointment:** Part-time position (e.g., teaching/research role) that directly advances career transition. (Faculty mentor must affirm in writing that this aligns with IDP goals and won't compromise training progress).

## Required Packet Attachments Sign-Off

By signing below, the Department/Unit confirms that the submission packet is complete and includes: (1) Mentor justification letter, (2) Scholar's complete CV detailing all prior domestic/foreign postdoc appointment durations, (3) Secure proof of funding at the applicable salary/effort level, (4) Comprehensive IDP history, and (5) Chair/Dean endorsement.

|                                                                                   |                    |
|-----------------------------------------------------------------------------------|--------------------|
| <b>Postdoctoral Scholar Signature for reduction in time request:</b><br><br>_____ | <b>Date:</b> _____ |
| <b>Faculty Mentor Signature:</b><br><br>_____                                     | <b>Date:</b> _____ |
| <b>Department Chair / Unit Head Endorsement:</b><br><br>_____                     | <b>Date:</b> _____ |
| <b>College Dean Signature:</b><br><br>_____                                       | <b>Date:</b> _____ |
| <b>Graduate Division Dean:</b><br><br>_____                                       | <b>Date:</b> _____ |