

Introduction to Faculty Appointments

As secretary to a professorial faculty member who has a research effort, you will at some point need to arrange Caltech research faculty appointments for postdoctoral scholars and visitors from industry or other universities. This section describes the major categories of research faculty appointments and the procedures to follow in making appointments.

Since secretaries often send or receive the correspondence indicating the impending arrival of a visitor in the professor's laboratory, you can play an important role in seeing that Postdoctoral Scholar, Visitor, and Visiting Associate appointments are made in a complete and efficient manner.

Who Needs an Appointment?

Residence at Caltech for 30 days or Longer? (1) Teachers and investigators from other institutions who expect to stay at Caltech more than one month must have official status at the Institute (Faculty Handbook, Ch 4. pg. 6). (2) Postdoctoral Scholars normally expect to stay a minimum of one year, and therefore fall into the category requiring an appointment.

Postdoctoral trainees are appointed to the Caltech position of Postdoctoral Scholar, and teachers and investigators from other institutions are appointed to the Caltech position of Visitor or Visiting Associate. A formal appointment benefits both the visitor and Caltech. An appointment provides the visitor with an appropriate recognized status on campus with mechanisms to provide salary or expense reimbursements and to use Caltech facilities (such as the Athenaeum, library, gym, parking, etc.). An appointment also permits him or her to participate in Caltech benefits according to the parameters of those plans, carries an official title that can be listed on the visitor's CV, and provides the necessary affiliation permitting Caltech to issue a foreign visitor an IAP-66 that the visitor uses to obtain a visa for entry into the United States. A summary defining the categories of faculty appointment and the procedures for making an appointment are described on the following pages.

Residence at Caltech for Fewer than 30 days?: Visitors who will be at Caltech for 30 days or fewer are not required to have an appointment. However, it is requested that the Division Office be notified about such short-term visitors. It may even be appropriate for the Division Chair to issue a letter of invitation. In addition, the Division Office can request a guest ID card for the visitor, which will give him or her some campus identification and will permit the visitor to use the library. Worker's Compensation insurance covers employees and others who have permission to be on campus. When you notify the Division Office of short-term visitors, the Division Office will notify Personnel so that your faculty member's visitor is protected. Visitors without appointment may not become Athenaeum members, and other restrictions regarding honorariums or payments may apply. It is wise to ask your professor what financial arrangements are under consideration so that you can find out from the Division Office whether Caltech is permitted to carry out those arrangements; this is especially true in the case of foreign visitors, whose visas carry restrictions regarding the kinds of compensation they may receive.

Research Faculty Appointment Procedures

Following is a discussion on the appointment and reappointment of Postdoctoral Scholars, Senior Postdoctoral Scholars, Visitors and Visiting Associates. Examples of the necessary forms are in the Computer Forms section of the Secretarial Manual.

I. Postdoctoral Scholar

A. **Definition:** A Postdoctoral Scholar is a research trainee under the supervision of a professorial faculty member and is usually appointed for no longer than three years at a time. This rank may be held up to a maximum period of six years. Postdoctoral Scholars must have completed all Ph.D. requirements and must be able to assume a full-time appointment at Caltech. Salary may be provided by an outside source or by the nominating faculty member and must meet Caltech's minimum salary level for Postdoctoral Scholars.

B. Application and Appointment

1. Professors may individually advertise a Postdoctoral Scholar position, but

the Division Office has also posted an announcement on-line inviting applications from all Ph.D.'s in chemistry and chemical engineering. This satisfies the requirement to conduct affirmative action searches for Postdoctoral Scholar appointments.

2. Each professor, or his/her secretary, should maintain a file of postdoctoral inquiry letters for affirmative action information when an appointment is proposed.

3. If a professor wishes to consider making an offer of a postdoctoral position, a **Postdoctoral Scholar Application Packet** (available from the Division Office if there are none at your desk) should be mailed to the prospective Postdoctoral Scholar. The packet contains an application form, three confidential recommendation letters, and a form regarding citizenship; fill in the appropriate blanks on the forms regarding return instructions before mailing. The packet should be requested regardless of whether the Postdoctoral Scholar will have his/her own fellowship support or Caltech funding. Questions about the appointment procedures can be addressed to Margaret Collins, the Postdoctoral/Personnel Specialist.

4. As soon as a professor and candidate agree on a position, fill out an **Appointment Recommendation Approval Form** (available from the Division Office; provide ALL information requested), attach the application and confidential recommendation reports (keep a copy for the professor's files), and forward the entire package to the Fiscal Office for processing through the steps described below. Please note the following time frame guidelines for submitting appointment packages. It is important that you adhere to these guidelines; failure to do so will probably result in delayed start dates.

a. **Appointment of U.S. Citizens:** Submit the appointment package to the Fiscal Office 6 to 8 weeks prior to the anticipated date.

b. **Appointment of Non-U.S. Citizens:** Submit the appointment package to the Fiscal Office a minimum of 10 to 12 weeks prior to the anticipated start date. If a visa transfer or a change in visa type is required, more time could be needed. Visa problems must be resolved before an appointment can be activated and before any payment can be made.

5. After the appointment package is submitted to the Fiscal Office, the

following steps occur to complete the appointment:

- a. The Division Fiscal Manager reviews and approves the funding provisions (please allow at least three days for this process) and forwards the package to Margaret Collins, the Postdoctoral/Personnel Specialist. The Division Office staff members prepare an appointment form and request any necessary information that might have been missing from the appointment package; the completed appointment form is signed by the Division Chair and forwarded to the Postdoctoral Scholars Office. (Allow about 3-5 days for this—more time if there are problems to resolve.)
- b. The Division Office posts the appointment in a tickler file in order to notify professorial faculty when appointments expire so that decisions regarding reappointment can be made. Postdoctoral Scholars are members of the non-voting faculty. As such, professors should provide Postdoctoral Scholar with reasonable notice (3-4 months) if no reappointment is intended.
- c. The Postdoctoral Scholars Office logs in the appointment form and queues it into their workload. One month of lead time for U.S. appointments (and two months for non- U.S. appointments) is required between receipt of the appointment form at the Postdoctoral Scholars Office and the appointment start date. Any questions are directed to the Division for resolution. An appointment letter is prepared and a draft copy sent to the Division Office for review. After the draft is approved, the final version of the appointment letter is prepared and forwarded to the President for signature and then sent to the prospective Postdoctoral Scholar. This letter is the official "appointment offer" and is the only binding Caltech commitment. Professorial faculty should take care that their correspondence to prospective Postdoctoral Scholars is limited to such phrases as, "I intend to recommend that you be appointed..."
- d. When the appointment is for a non-U.S. citizen, the Postdoctoral Scholars Office sends a copy of the signed appointment letter and form to the Institute's International Scholars Office for the preparation of documents (i.e., INS Form, IAP-66) that the appointee uses to obtain a

visa for research at Caltech. It is frequently necessary for the International Scholars Office to contact the appointee by phone or letter in order to discuss the particular circumstances of the individual's case.

(Visas are governed by a multitude of INS regulations, and solving some of the complications that arise can sometimes take several months. For that reason, it is strongly advised that appointments for foreign nationals be submitted well in advance of the intended start date. Appointees must have the correct visa to receive a salary.) Under ideal circumstances the IAP-66 is sent to the appointee within a week *after* the International Scholars Office receives copies of the signed appointment letter and documents from the Postdoctoral Scholars Office.

e. The appointment letter is viewed by Caltech as an employment contract, and appointees are requested to sign and return a copy of the appointment letter to the Postdoctoral Scholars Office accepting the terms of the appointment.

C. Arrival Procedures

1. New Postdoctoral Scholars are requested to check in at the Postdoctoral Scholars Office and the International Scholars Office within 24 hours of their arrival. The Postdoctoral Scholars Office requests that the hosting professor arrange for someone to act as a translator to accompany new appointees who do not speak or understand English well. The appointment letter will have requested that they bring proof of receipt of a Ph.D. degree and proof of their citizenship and permission to work in the United States (This applies to U.S. citizens too.) Newcomers have no official status on campus, and payroll and benefits paperwork is held until the new Postdoctoral Scholar has completed all the check-in procedures at the Postdoctoral Scholars Office.

2. After HR, Postdoctoral Scholars should check-in with Division Office for a quick orientation. During the orientation, new postdocs are provided with Division records forms, handouts on laboratory safety procedures, details about the mail, phone and payroll systems, and other miscellaneous information to help them get settled at Caltech and in Pasadena.

3. Secretaries should provide the new Postdoctoral Scholar with a completed key authorization form and direct him or her to the Division Front Office to

obtain a request form, which is then presented to the Key Shop personnel for issuance of keys. Chemical Engineering Fellows should obtain key authorizations from the Administrative Assistant to the Chemical Engineering Executive Officer.

4. When the new Postdoctoral Scholar has finally arrived at his laboratory he will be shown around the laboratory by the group Safety Officer and a Safety Check Sheet will be given to him. All items must be checked off and the group Safety Officer must sign-off on the sheet. Most of the information is found in the Division Safety Manual, one of which is located in every laboratory. Viewing of a one-hour safety film is also required and can be done as part of the Division Office Orientation. Have the new Postdoctoral Scholar contact Anne Penney (ext. 6024) to set up a viewing time. After all of these procedures have been followed, the Postdoctoral Scholar is authorized to begin his laboratory experiments. **(Viewing of the safety film is required for all new Postdoctoral Scholars, regardless of whether they actually work in a laboratory or do theoretical work.)**

D. Reappointment of Postdoctoral Scholars

Three or four months prior to the expiration of a Postdoctoral Scholar's appointment, the Division Office will email a notice to the supervising professor and request reappointment information. If the professor indicates that no further appointment is intended, the Division Office will send the Postdoctoral Scholar appropriate departure forms.

E. Salary Changes

Changes in salary (e.g., a merit increase or receipt of an outside fellowship) must be submitted by the Division to the Postdoctoral Scholars Office for approval and action. The Division is requested to provide a one-month lead time from submission to effective date. Please copy the Division Office with correspondence from the postdoc's supporting agencies!

F. Departure Arrangements

Postdoctoral Scholars should complete termination arrangement with the Division Office 6-8 weeks before departure so that final checks can be requested and insurance details determined.

II. Senior Postdoctoral Scholars

A. Definition: Appointment as a Senior Postdoctoral Scholar in Chemistry or Chemical Engineering is restricted to individuals who have demonstrated excellence and exceptional promise as Postdoctoral Scholars or in equivalent positions. Promotion of a Postdoctoral Scholar to a Senior Postdoctoral Scholar may be appropriate for suitably qualified individuals when continued collaboration on a research project would be mutually beneficial to the postdoc and to the sponsoring professor. Initial appointments as Senior Postdoctoral Scholar in Chemistry or Chemical Engineering may not exceed three years and are expected to carry a stipend comparable to that received by members of the professional staff at an equivalent level. The Institute sets a minimum salary requirement for the Senior Postdoctoral Scholar position. Appointments at the rank of Senior Postdoctoral Scholar must be full time.

The faculty of the Division adopted a policy in 1985 that appointment of Senior Postdoctoral Scholars for periods in excess of three years (up to the Institute cumulative limit of six years) will be considered only in exceptional cases where the appointee is of unusual excellence and the benefits to the appointee are manifest.

B. Appointment Procedures

1. Appointment Package Contents

- a. Memo from sponsoring professor to the Staffing Committee Chair requesting the appointment and providing the justification/rationale for the appointment. The memo should indicate how long the professor expects to request appointment at the Senior Postdoctoral Scholar rank (number of months or years).
- b. Curriculum Vita
- c. Publications list
- d. Names of at least two individuals who may be solicited for letters of reference. The solicitation letter should not be from the sponsoring professor. It will be sent by the Chair of the Staffing Committee or the Division Chair.

2. Transmit the completed package to the Administrative Assistant to the Chair.
3. The Assistant to the Chair will forward the package to the Staffing Committee

Chair. The Staffing Committee reviews the package and forwards its recommendation to the Division Chair.

4. The package is distributed to the professorial faculty for approval (either by mail ballot or by voting at a faculty meeting).

5. When all approvals have been obtained, the Division Office will prepare the appointment form and forward it to the Postdoctoral Scholars Office where it is processed in much the same way as for a Postdoctoral Scholar appointment.

C. Submission Time Guidelines

Since several steps are involved in appointing a Senior Postdoctoral Scholar, sufficient time must be allowed. As a general guideline, allow three to four months minimum for U.S. citizens and four or five months for the appointment of non-U.S. citizens.

D. Activation and Termination of Appointment

The activation and termination of Senior Postdoctoral Scholar Appointments follow the same procedures as for Postdoctoral Scholars. The standards of notice (non-reappointment) are outlined in the Faculty Handbook and require longer notice than for Postdoctoral Scholars.

E. Arrival Procedure

Same as Arrival Procedures for Postdoctoral Scholars.

III. VISITOR OR VISITING ASSOCIATE

A. Definitions: A Visiting Associate usually is a colleague of a Caltech Professorial faculty member who is here to collaborate on research. The Visiting Associate is considered to be a member of the faculty. The Visiting Associate will be faculty from another university who wishes to come to Caltech during a sabbatical; a research scientist from a corporation, university or national laboratory; or a JPL employee who is collaborating with a Caltech faculty member. A Visitor is not considered a member of the faculty. In some circumstances it is appropriate to appoint a Postdoctoral Scholar or student from another university as a Visitor at Caltech. A Visitor or Visiting Associate must have a permanent position to which he or she will return at the conclusion of the stay at Caltech. The appointments may be full-time or part-time, with or without stipend. The normal appointment period is for a year or less, and

reappointments at either rank may be made up to a cumulative limit: 3 years for Visitors and 10 years for Visiting Associates. Exceptions to either cumulative limit require special justification. A review of the Visiting Associate will be required after five years (or three years if the Visiting Associate is retired) for reappointment. There is no salary minimum, but care should be taken to assure that the Visitor or Visiting Associate will have adequate funds to maintain a standard of living in Pasadena in keeping with his or her rank.

B. Appointment Procedure

1. The appointment process for a Visitor or Visiting Associate parallels that of a Postdoctoral Scholar. In lieu of an application form, a detailed Curriculum Vita will provide most of the information needed for the Division Office to complete an appointment form. Letters of recommendation are not required for initial appointment.

2. When a professor and prospective Visitor or Visiting Associate agree on a position, fill out an appointment Recommendation Approval Form and forward it with the Curriculum Vita and any other pertinent information to Margaret Collins, the Postdoctoral/Personnel Specialist.

The time frame and processing steps are the same as those for Postdoctoral Scholars (6 to 8 weeks for U.S. citizens; 10 to 12 for non-U.S. citizens).

The following information is needed to prepare an appointment form. Please obtain whatever details are not provided in the Curriculum Vita:

- a. Educational history (degree, date, field, and institution)
- b. Employment history (prior professional positions held; current position; title and year appointed to the position)
- c. Bio data (mailing address, date and place of birth (city, state, country), citizenship, marital status, family members who will accompany foreign Visitor or Visiting Associate)
- d. Funding (indicate funding on the Appointment Recommendation Approval Form.) The total amount of funding available to the Visitor or Visiting Associate as salary during the appointment period and the source(s) are needed for foreign appointees. This information is needed for the IAP-66 form that the appointee uses to obtain a visa. Request copies of documents awarding outside support, including outside

fellowships. (These are forwarded to the appropriate office with the appointment forms.) For U.S. citizens whose home universities or employers are continuing to provide partial or full salaries, it is necessary only to provide the amount of funding that a Caltech host may wish to supply as a supplemental salary.

e. Summary of qualifications. The appointing professor needs to provide a brief statement supporting the appointment. Include a brief description of the appointee's professional qualifications, the collaboration that is anticipated, and the expected benefits to the host and visitor. This information will be transferred to the Institute appointment form.

f. For appointments of foreign nationals already in the United States, indicate the visa presently held and its expiration date.

3. Submit the Appointment Recommendation Approval Form together with the Curriculum Vita and the additional assembled information to Margaret Collins, the Postdoctoral/Personnel Specialist, for completion of the appointment procedure. Refer to the prior section on Postdoctoral Scholar Appointments for a description of the steps that occur after it is out of your hands.

C. Arrival and Departure Procedures (See Procedure for Postdoctoral Scholars)

D. Reappointment Procedure (See Procedure for Postdoctoral Scholars)

E. Salary Changes (See Procedure for Postdoctoral Scholars)

Checklist for Appointing a Postdoctoral Scholar, Visitor or Visiting Associate

1. Send a Postdoctoral Application Form to the candidate (Appendix A).

Application forms are available on-line or from the Division Office. (For a Visitor or Visiting Associate appointment, substitute a request for a detailed Curriculum Vita.)

2. Assemble appointment package for Division Office

a. Postdoctoral Application Form (Detailed Curriculum Vita for Visitor or Visiting Associate)

b. Reference letters (Not required for Visitor or Visiting Associate appointment)

c. Bio data (date and place of birth, citizenship, marital status)

d. Copies of financial award documents from non-Caltech sources

- e. Provider of insurance costs for appointees without stipend from Caltech
 - f. Citizenship/visa information form for non-U.S. citizens (FINI)
 - g. Supporting memo and summary of qualifications (for Visitors or Visiting Associates)
3. Prepare an Appointment Recommendation Approval Form (Appendix B).
This form is available from the Division Office
4. Submit Appointment Recommendation Approval Form and appointment package to the Division Office according to the following timetable:
- a. U.S. citizens—minimum of 6 to 8 weeks prior to anticipated start date
 - b. Non-U.S. citizens—minimum of 10 to 12 weeks prior to anticipated start date (even when the candidate is already in the United States as a student or postdoctoral fellow at another institution)