

III-17  
**POSTDOCTORAL SCHOLARS**  
(Revised 9/18)

**I. Definition**

Postdoctoral Scholar appointments are intended to provide a full-time training program of advanced academic preparation and research training under the mentorship of a faculty member (defined as ladder faculty or professional researcher). System-wide policies regarding Postdoctoral Scholars may be found in APM 390 and the Memorandum of Understanding (MOU) for the Postdoctoral Scholar unit.

**II. Appointment Criteria**

Appointment to a Postdoctoral Scholar title requires a doctorate or its equivalent. Postdoctoral Scholars may be appointed into the following titles:

- Postdoctoral Scholar- Employee (3252 or 3255)  
Used when payment for the appointment will be made via the University payroll system. This title is also used to supplement Fellow or Paid-Direct appointments when the external funding amount is below the required salary level. 3252 is used for exempt appointments and 3255 is used for non-exempt appointments.
- Postdoctoral Scholar- Fellow (3253)  
Used when the appointee has been awarded a fellowship or traineeship by an extramural funding agency that will be paid through a University account. The appointment in UCPath may be with salary or without salary (funds paid as a stipend) depending on the fund source.
- Postdoctoral Scholar- Paid Direct (3254)  
Used when the appointee is paid a fellowship or traineeship directly by the granting agency. Appointed without salary in UCPath.
- Interim Postdoctoral Scholar-Employee (3256)  
Used when a UCSB graduate student has obtained their Ph.D. and needs a short-term appointment to complete an existing project from their degree program before moving on to other employment.

The [Chart Defining Postdoctoral Scholar Positions](#) may be helpful in determining if the candidate is appropriately appointed as a Postdoctoral Scholar, and if so, which of the Postdoctoral Scholar titles to use.

**III. Terms and Conditions of Employment**

- A. Appointment must be made at 100% time. Exceptions may be granted by the Associate Vice Chancellor for Academic Personnel in the following circumstances
1. Personal health
  2. Family responsibilities
  3. Employment external to the University
  4. To accommodate a temporary teaching appointment at UCSB

If the Postdoctoral Scholar is on an H-1B visa, an amendment to the H-1B must be filed reflecting the appointment percentage.

- B. The total duration of appointment in any combination of Postdoctoral Scholar titles, including postdoctoral service at other institutions, may not exceed five years.
- C. Appointments will be for the durations specified in the MOU as follows:
1. Postdoctoral Scholar- Employee
    - The initial appointment will be for a minimum of one year
    - The first reappointment will be for a minimum of two years unless the initial appointment was for two years.

- Subsequent reappointments will be for a minimum of one year

Exceptions to the reappointment minimums will be granted if the funding, programmatic work, work authorization or visa end date, or five-year limit on Postdoctoral appointments will occur prior to the reappointment minimum end date or if the Postdoctoral Scholar requests a short-term bridge to other employment.

2. Postdoctoral Scholar- Fellow or Paid Direct

- The appointment will be for the duration of the fellowship award or extramural funding.

3. Interim Postdoctoral Scholar-Employee

- The appointment will be for the duration needed to bridge to the next employment but may not exceed one year.

#### **IV. Requests for Appointment, Reappointment or Modification**

A. Appointments, reappointments, and modifications require submission of the completed and signed [Postdoctoral Scholars Appointment Form](#) along with the following documents:

- Initial Appointments

1. UCSB Biography form
2. An up to date Curriculum Vitae
3. For a Postdoctoral Scholar Fellow or Paid Direct, a copy of the external funding agency's award letter and guidelines. The letter should include specific information regarding the salary support and the amount of funding available for coverage of health insurance and other required benefits. If the external agency will not provide funds for health insurance and other benefits, a departmental funding source must be provided.

- Reappointments

1. Annual evaluation form
2. For a Postdoctoral Scholar Fellow or Paid Direct, an updated copy of the external funding agency's award letter and guidelines.

- Modifications

1. For a Postdoctoral Scholar Fellow or Paid Direct, an updated copy of the external funding agency's award letter and guidelines.
2. For a reduction in time, appropriate documentation supporting the reason for the reduction.

B. Formal offers of employment may be extended prior to conferral of the Ph.D. however such offers are contingent on conferral of the Ph.D. prior to the start date of the appointment.

C. The completed form and appropriate attachments should be submitted to Academic Personnel at least a month prior to the start date of the appointment, reappointment or modification. A copy should be maintained in the departmental files.

D. Upon notification of approval of the action from Academic Personnel, the Department must provide the Postdoctoral Scholar with an appointment letter using the sample found at <https://ap.ucsb.edu/resources.for.department.analysts/postdoctoral.scholar.appointments/> along with appropriate attachments.

E. The Postdoctoral Scholar must confirm their acceptance of the offer by signing and returning the appointment letter on or before the first day of employment. Upon receipt of the acceptance, the Department may enter the Postdoctoral Scholar into UCPath. A copy of the signed acceptance must be forwarded to Academic Personnel.

#### **V. Compensation**

- A. All Postdoctoral Scholars must be paid at or higher than the minimum for their experience level, as indicated on the posted salary scale (Salary Scale 23/23N.) If an extramural granting agency will provide less than the minimum salary for the experience level, the faculty mentor must arrange additional funding prior to the beginning date of the appointment in order to provide the minimum salary.
- B. When a Postdoctoral Scholar- Fellow or Paid Direct requires salary supplementation as described in A., the supplement will be paid using the Postdoctoral Scholar-Employee title.
- C. Movement to the next experience level pay rate must occur no later than the anniversary date of the Postdoctoral Scholar's original appointment date. Postdoctoral Scholars who are already above the new experience level rate must receive at least a 2% salary increase on their anniversary date. When the anniversary date occurs mid-appointment, the [Postdoctoral Scholars Mid Appointment Salary Increase](#) form is to be completed and submitted to Academic Personnel for approval of the increase.
- D. Mid-year salary increases are allowed but do not negate the mandatory increase on the Postdoctoral Scholar's anniversary date.

## **VI. Leaves**

- A. Postdoctoral Scholars are eligible for 12 days of sick leave per twelve-month appointment period. All 12 days of leave are available for use effective the first day of the appointment. Any balance remaining at the end of an appointment period is to be carried forward to any subsequent Postdoctoral appointment or other University appointment that provides sick leave. A Postdoctoral Scholar who is reemployed after a separation with a break of less than six months will have sick leave reinstated in accord with Article 23 of the MOU.
- B. Postdoctoral Scholars are eligible for 24 days of personal time off per year. All 24 days of leave are available for use effective the first day of the appointment. Balances remaining at the end of an appointment do not carry forward to subsequent appointments. Time off for Postdoctoral Scholar-Fellow and Postdoctoral Scholar-Paid Direct appointees may be paid or unpaid, depending on the provisions of the funding agency agreement.
- C. Sick leave and personal time off are both recorded in full day increments. Approved absences of less than one full day do not require the use of personal time off or sick leave.
- D. Postdoctoral Scholars are also eligible for other leaves of absence as outlined in Article 12 of the MOU. Leaves of absence, other than use of personal time off or sick leave, require prior approval from the Associate Vice Chancellor for Academic Personnel.

## **VII. Reviews and evaluations**

- A. The Supervisor or PI who serves as the Postdoctoral Scholar's mentor must, within a reasonable time after the beginning of each appointment communicate to the Postdoctoral Scholar the mentor's research and progress expectations for the period of the appointment. The Postdoctoral Scholar may request that the expectations be provided in writing.
- B. Mentors shall conduct an annual written review of each Postdoctoral Scholar's performance. A sample evaluation form is available at: <http://www.graddiv.ucsb.edu/scholars/staff-resources> . The evaluation form must be submitted every 12 months or at the end of the Postdoctoral Scholar's appointment, whichever comes first. A copy of the evaluation must be provided to the Postdoctoral Scholar upon request and a copy kept in the department personnel file. In addition, mentors and Postdoctoral Scholars must periodically engage in informal oral progress assessments.
- C. A Postdoctoral Scholar may elect to develop an Individual Development Plan (IDP) that identifies the Postdoctoral Scholar's research goals as well as professional development and career objectives. The Postdoctoral Scholar's mentor should, upon request from the Postdoctoral Scholar, engage in the process of reviewing and discussing the IDP with the Postdoctoral Scholar.

## **VI. Layoff**

Layoff may occur as a result of the loss of appropriate funding for the position prior to the stated end date of the appointment. A Postdoctoral Scholar will be given 30 calendar day notice of layoff. Pay in lieu of notice may be given. The Postdoctoral Scholar may request a written summary concerning unavailability of funds. Consultation with Academic Personnel and Labor Relations is required prior to the initiation of any layoff action and should occur as far in advance as possible.

## **VII. Discipline and Dismissal**

Discipline or dismissal may take place when, in the University's judgment, the Postdoctoral Scholar's performance or conduct merits such action. Dismissal is termination of the appointment, prior to the appointment end date based on conduct or performance such that continued employment is not justified. Discipline may take one of the following forms:

- A. Written warning informing the Postdoctoral Scholar of the nature of the problem, requirements for continuation of the appointment, and possible consequences if the problems are unresolved.
- B. Suspension from the training program, without pay, for a stated period of time. Unless otherwise stated, such suspension will include loss of other privileges such as parking, access to University property and library privileges.
- C. Dismissal from the Postdoctoral Scholar position.  
Consultation with Academic Personnel and Labor Relations is required prior to initiating any disciplinary action.

## **VIII. Approval Authority**

### Action

All actions

### Authority

Associate Vice Chancellor, Academic Personnel