Overview

Postdoctoral Scholar appointments at the University of California, Santa Barbara are intended to provide individuals who have recently completed a doctoral degree, with a full-time training program of advanced academic preparation and research training under the mentorship of a faculty member. Postdoctoral work provides essential training in many disciplines for individuals pursuing academic careers and may include opportunities to enhance teaching and other professional skills.

Postdoctoral Scholars employed at the University of California are exclusive represented by the International Union, United Automobile, Aerospace and Agricultural Implement Workers of America (UAW) on collective bargaining issues pertaining to wages, hours, and terms & conditions of employment. The current Memorandum of Understanding (MOU) is a system-wide agreement between the UC and Postdoctoral Scholars Unit (PX) that governs the terms and conditions for postdoctoral scholar appointments (see Policy).

The Office of Academic Personnel maintains the processing and approval authority of all Postdoctoral Scholar appointments at the University of California, Santa Barbara.

Policy

The Memorandum of Understanding (MOU) governs the terms and condition of employment for postdoctoral scholar appointments at the University of California. The current contract is valid from August 12, 2010 to September 30, 2015.

The University of California’s Academic Personnel Manual (APM)-390 defines the research expectations for postdoctoral scholars, the mentoring of postdoctoral scholars, appointment criteria, grievance processes, etc.

The UCSB Red Binder Sections III-17 pertains to campus policies and procedures for the appointment of postdoctoral scholars at the University of California, Santa Barbara.

Union

The state Higher Education Employer-Employee Relations Act (HEERA) was amended in January 2000 to establish an "agency shop" at the University of California (HEERA §3583.5). By law, UC employees who are represented by a union but do not join and pay membership dues are required to pay a "fair share" fee through mandatory paycheck deductions. The deductions are paid to the union to help cover the union's costs for negotiations, contract administration, and related representational activities.

Fair share fees must be paid by all employees in the PX Unit who are not members of United Auto Workers (UAW) Local 5810 whether or not they support the union. The only exception under the law is for an employee "who is a member of a bona fide religion, body or sect that has historically held conscientious objections to joining or financially supporting public employee organizations." (HEERA §3584). Employees may apply to UAW Local 5810 for conscientious objector (CO) status. Once UAW Local 5810 grants CO status, the employee may select one of the charities agreed to by UAW Local 5810 and UC, to which the fees will be paid (see chart below).

Employees who wish to apply for conscientious objector status should contact UAW Local 5810 directly.

UAW Local 5810 dues structure and fair share fees

(Effective November 2014)

<table>
<thead>
<tr>
<th>Dues Structure / Values</th>
<th>Agency Fee Amount</th>
<th>CO Charities</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.44% of gross pay</td>
<td>1.05% of gross pay</td>
<td>American Cancer Society; Habitat for Humanity; Oxfam</td>
</tr>
</tbody>
</table>

Appointment Criteria and Titles

A postdoctoral scholar appointment requires a doctoral degree (or equivalent), with no more than five years passed since the candidate attained their degree. The primary purpose of the hire is to provide the appointee with a full-time program of advanced academic preparation and research training to the individual under faculty mentorship. 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.
The candidate shall provide proof of US work eligibility required for U.S. citizens and non-citizens or submit in a timely manner all documents required by the University to process a request for work authorization. For issues regarding US visa/works authorization for international postdoctoral scholars, please contact the Office of International Students & Scholars.

Postdoctoral scholars shall be appointed in one of the following titles based on the source of funding:

- **Employee (TC: 3252):** when (1) the agency funding the salary requires or permits the appointee to be an employee of the University, or (2) whenever General Funds, Opportunity Funds or other University discretionary funds are used to support the position.

- **Fellow (TC: 3253):** when the postdoctoral scholar is awarded a fellowship or traineeship for postdoctoral study by an extramural agency and the fellowship or traineeship is paid through a University account. (The appointment in PPS may be with salary or without salary – funds paid as a stipend, depending on the funding source.)

- **Paid-Direct (TC: 3254):** when the postdoctoral scholar is awarded a fellowship or traineeship for postdoctoral study by an extramural agency and the agency pays the fellowship or traineeship directly to the postdoctoral scholar, rather than through the University. (Paid-Direct appointments shall have a “without-salary” status.)

Postdoctoral scholars in the Fellow or Paid-Direct title may receive a supplement to their salary/stipend through the use of the Employee title, depending on University and extramural funding agency requirements. This is required in cases where the fellowship or traineeship amount does not meet the minimum salary requirements (see Compensation).

The hiring department is expected to notify the Office of Academic Personnel when the postdoctoral scholar’s source of funding changes during the period of appointment as it may affect their title and benefits. The dept. will be required to submit a modification request to update the postdoctoral scholar’s appointment.

### Duration

Postdoctoral scholar appointments are full-time (100%), temporary and have fixed, self-terminating end dates. In general, the total duration of an individual’s postdoctoral service at may not exceed five years, including postdoctoral service at other institutions. An exception may be granted for an extension not to exceed six years total. Per Article 2 of the MOU and the UC APM 137-20-B, it is within the University’s sole discretion to appoint or reappoint a postdoctoral scholar.

Initial appointments shall be for a minimum of one year. Reappointments may be granted for less than one year based on the following circumstances:

- Fellowship funding is granted for less than one year
- Lack of full-year funding
- The postdoctoral scholar’s project is ending in less than one year
- Visa limitation for international postdocs

In addition, postdoctoral scholars may request to voluntarily reduce their appointments below full-time (100%) based on the following circumstances:

- Personal health issues
- Family responsibilities
- Temporary appointment as Lecturer-part time during an academic quarter

The postdoctoral scholar is required to provide a written request to their supervisor for a reduced appointment prior to the intended begin date.

Postdoctoral Scholars may request to bridge their appointment for a short duration to carry him/her over from their current appointment to another anticipated appointment.

All exceptions must be filed at the time of appointment or reappointment and are reviewed and approved by the Associate Vice Chancellor for Academic Personnel.
**Equal Opportunity, Nondiscrimination and Diversity**

Although postdoctoral scholar appointments are exempt from the [UC open recruitment policy](https://recruit.ap.ucsb.edu/), UCSB encourages departments to post postdoctoral scholar positions in order to promote equal opportunity for all candidates. Procedures for recruitment of temporary academic positions can be viewed in the UCSB Red Binder, sections [VII-5](https://recruit.ap.ucsb.edu/) and [VII-7](https://recruit.ap.ucsb.edu/).

Hiring departments may choose to advertise open postdoctoral positions at: UC Recruit at: [https://recruit.ap.ucsb.edu/](https://recruit.ap.ucsb.edu/)

**Appointment / Reappointment Process**

**Submission Process:**

Postdoctoral scholar appointment requests shall be submitted to the Office of Academic Personnel by [campus mail](https://recruit.ap.ucsb.edu/): MC 2034 no later than 30 days before the anticipated start date for initial (new) appointments and modification requests, and 45 days before to the start date of reappointment. All requests will be reviewed and approved by the Associate Vice Chancellor for Academic Personnel. The dept. will receive an electronic notice of approval with an attached copy of the signed postdoctoral scholar appointment form.

<table>
<thead>
<tr>
<th>Forms and Supporting Documents</th>
<th>Initial (New) Appointment</th>
<th>Modification</th>
<th>Reappointment</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Postdoctoral Scholars Appointment Form</strong></td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td><strong>UCSB Biography for Academic Personnel</strong></td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td><strong>Curriculum Vitae</strong></td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td><strong>Ph.D. Diploma or proof of conferment letter</strong></td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td><strong>(required for recent graduates only)</strong></td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td><strong>Academic Recruitment Packet</strong></td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td><strong>(if an open search was conducted)</strong></td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td><strong>External funding agency’s award letter</strong></td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td><strong>(for Fellows and Paid Directs appointments)</strong></td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td><strong>Annual Evaluation Form</strong></td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td><strong>Mid-Appointment Salary Increase Form</strong></td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td><strong>Written request from the postdoctoral scholar:</strong></td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>1) To reduce appointment less than 100% time</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>2) To extension to bridge current appointment to a subsequent appointment</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
</tbody>
</table>

* 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 award does not include funds for health insurance and other benefits, the department will be responsible for covering the cost and is required to list the funding source on the appointment form.

**Notification of Appointment:**

Upon notification of approval from the Office of Academic Personnel, the department must provide the postdoctoral scholar with a notice of appointment letter along with supplemental information pertaining to benefits and union membership. Per Article 2 of the MOU, the hiring department is expected to provide the postdoc with the written notice as soon as practicable, but no later than seven (7) calendar days following the start date of the initial (new) appointment or thirty (30) days prior to the start of reappointment. Postdoctoral scholars must accept the appointment and return the signed notice of appointment on or before the first day of employment. Upon receipt of the acceptance, the Department may enter the postdoctoral scholar into PPS. A copy of the signed acceptance letter should be forwarded to Academic Personnel. A copy of the appointment request documents should be maintained in the postdoctoral scholar’s personnel file (see Personnel Files).

**Compensation**

Postdoctoral Scholar salaries are established based on the National Institute of Health’s Ruth L. Kirschstein National Research Service Award (NIH/NRSA) [stipend scale](https://recruit.ap.ucsb.edu/), as agreed upon by the UC and UAW per Article 4 of the MOU. Salary/stipend minimums for postdoctoral scholars are based on their total months of previous postdoctoral service experience prior to the start of the initial appointment or reappointment. Nothing shall preclude the University from providing supplemental compensation to postdoctoral scholars at rates above the NIH/NRSA scale or to discontinue the supplement, unless the supplement is being provided to meet the salary/stipend minimum requirement.
For Fellows and Paid Directs: When the extramural agency establishes a stipend at a rate less than the University-established salary/stipend minimum, and the department elects to proceed with the appointment of the postdoctoral scholar, the department shall provide additional funding to bring the salary/stipend level of the postdoctoral scholar up to the established minimum. The supervisor shall arrange for additional funding prior to the begin date of appointment.

Postdoctoral scholars are entitled to a salary increase at the time of reappointment, but no later than their anniversary date. Postdoctoral scholars must be appointed at the new rate based on their experience level or receive at least a 2% salary increase if their current salary/stipend is above the next experience level minimum. When the anniversary date occurs during the mid-appointment period, the department must submit the Mid Appointment Salary Increase form to the Office of Academic Personnel for review and approval. Mid-year salary increases are allowed but do not negate the mandatory increase on the anniversary date.

The compensation requirements shall not apply to any postdoctoral scholar appointed on a grant (e.g., Einstein Fellows, Hubble Fellows) that restricts that postdoctoral scholar’s remuneration to only the pay received by the grant.

Benefits

As a condition of appointment, postdoctoral scholars must have adequate health insurance coverage for the duration of their appointment. Postdoctoral scholars are eligible to participate in the University’s Postdoctoral Scholars Benefits Plan (PSBP) offered by Garnett-Powers and Associates, which include medical, dental, vision, life, AD&D, short term disability, and voluntary long term disability. Postdoctoral scholars are expected to contribute towards the shared cost of the PSBP, which can be viewed under Appendix A of the MOU. Fees will either be deducted from the appointee’s pay on the first of each month for appointees in the Employee title or will be billed directly by Garnett-Powers and Associates for appointees in FELLOW or PAID-DIRECT titles. For international postdoctoral scholars – the PSBP satisfies the US Department of State’s J-1 Exchange Visitor medical insurance requirements. Postdoctoral scholars may choose to decline the PSBP and will be required to seek adequate health insurance coverage on their own.

Additionally, Postdoctoral scholars are automatically enrolled in the Life, AD&D, and Short Term Disability programs. The department shall provide these coverages at no cost to postdoctoral scholars. In addition, the department shall pay the Workers Compensation Assessment and the Benefit Broker Fee for all postdoctoral scholars.

Postdoctoral Scholars are required to contribute to the University of California Defined Contribution Plan (DCP) as Safe Harbor participants. Postdoctoral scholars, as Safe Harbor participants contribute 7.5% of gross salary to DCP in lieu of Social Security taxes, and are not eligible for membership in the University of California Retirement Plan. In addition, postdoctoral scholars pay Medicare taxes. Postdoctoral scholars may elect to make voluntary contributions to any of the Retirement Savings Program plans.

For additional information regarding benefits and enrollment, please contact the UCSB Benefits Office at: http://www.hr.ucsb.edu/benefits/postdoctoral-scholars.

Sick Leave / Personal Time Off

Postdoctoral scholars are entitled to twelve (12) work days of sick leave and twenty four (24) work days of personal time off with pay during a twelve (12) month period of appointment. All sick leave and personal time off days are available for use starting on the postdoctoral scholar’s first day of appointment. Leaves are granted in a single work day increment. Unused sick leave can be carried over towards subsequent appointments at the University whereas unused personal time off will not. The Postdoc Time Card allows you to properly track the postdoctoral scholar’s sick leave/personal time off usage.

Postdoctoral scholars are expected to notify their supervisors in advance when requesting for personal time off. The supervisor may require the postdoctoral scholar to provide the request in writing. Postdoctoral scholars on sick leave may be requested to provide proof of a need to be absent from work due to illness.

As postdoctoral scholars are exempt professional employees, they do not receive overtime compensation or compensatory time off.

Leaves of Absence

In addition to sick leave and personal time off, postdoctoral scholars are eligible for temporary leaves of absence during their appointment period. The leaves of absence can be for medical and/or non-medical purposes and for with our without pay. Requests for a leave of absence are subject to the approval of the University. Postdoctoral Scholars shall submit their requests for leave to
their supervisor in writing in advance of the requested begin date (see charts for notice and documentation requirements). The University shall provide the postdoctoral scholar with a written confirmation of the approved leave of absence. Approved leaves are counted per each work day taken off and may not continue beyond the postdoctoral scholar’s appointment end date. **NOTE:** An approved leave without pay is not considered a break in service.

- Medical Leaves of Absence
- Non-Medical Leaves of Absence

### Reviews and Annual Evaluation

As postdoctoral scholar appointments are for the purpose of training and mentorship, the supervisor shall conduct an annual review with the postdoctoral scholar to assess their research and progress expectations for the current period of appointment. The mentor shall complete and submit the **Annual Evaluation Form** to the Office of Academic Personnel near the postdoctoral scholar’s appointment end date or at the time of a reappointment request. The mentor shall keep a copy in the postdoctoral scholar’s personnel file (see Personnel File) and provide a copy to the postdoctoral scholar upon request. In addition, mentors and postdoctoral scholars must periodically engage in informal oral progress assessments.

Postdoctoral scholars may elect to develop an **Individual Development Plan (IDP)** that identifies their research goals as well as professional development and career objects. The mentor should, upon request from the postdoctoral scholar, engage in the process of reviewing and discussing the IDP with the postdoctoral scholar.

### Personnel Files

Postdoctoral scholars and their designated representatives may request to obtain access to the postdoctoral scholar’s personnel file by submitting a written no later than five (5) work days prior to the request date.

The personnel file should contain the following documentation: proof of degree or transcript, Curriculum Vita, Notice of Appointment Letters, salary and benefits information, record of training such as annual reviews and individual development plans, discipline and dismissal actions, and other relevant or necessary information specified by the University.

The department shall designate a contact person who will identify the location and process for accessing the file on the notice of appointment letter.

The Postdoctoral Scholar has the right to request that errors of fact in personnel records be corrected, and to make additions to personnel records.

### Discipline and Dismissal

The University may discipline or dismiss a Postdoctoral Scholar for just cause.

Disciplinary actions for just cause may take one the following forms:

A. **Letter of warning:** A written notice that informs the postdoctoral scholar of the nature of their inadequate performance or misconduct; the requirements for continuation; and the probable consequence of continued inadequate performance or misconduct.

B. **Suspension:** Suspension from work activities for a specified period of time, without pay, including access to University property, parking and library privileges. **For Postdoctoral Scholars- Paid Directs,** suspension is a debarment from the Postdoctoral Scholar training program for a stated period.

C. **Dismissal:** Termination of a postdoctoral scholar’s appointment initiated by the University, prior to the appointment end date, when the University determines that the postdoctoral scholar’s conduct or performance does not justify continuation. **Note:** Normally, dismissal is preceded by at least one Letter of Warning. In situations justified by the seriousness of the misconduct or unsatisfactory performance, the University may proceed to dismissal without written warning.

The University may take other disciplinary action consistent with extramural funding agency requirements.

At any stage of the discipline or dismissal process, a Postdoctoral Scholar may represent him or herself, or may be represented, except by a manager, supervisor or confidential employee.

Contact the **Labor Relations Office** prior to taking any disciplinary actions.
**Grievances**

Ask Staci in Labor Relations for a narrative

**Layoffs**

Per [APM-390-45](#), Layoff is defined as the termination of the postdoctoral scholar appointment prior to the predetermined end date as a result of appropriate funding becoming unavailable. In the event of a layoff, the dept. shall provide a layoff notice to the postdoctoral scholar no later than thirty (30) calendar days in advance of the termination date. The University, via Labor Relations, shall provide a copy of the layoff notice to the UAW within five (5) working days of providing the notice to the postdoctoral scholar. The department shall forward a copy of the layoff notice to the Office of Academic Personnel.

Per [Article 11](#) of the MOU, The University has sole discretion to determine when layoffs shall occur.

In the event that sufficient funding is restored to the research project within the time of the postdoctoral scholar’s current appointment period, the postdoctoral scholar shall have their appointment restored.

Layoff decisions may be appealed in accordance with [APM-390-40](#) (See Grievances).

**Training Materials**

- [UCOP Postdoc Benefits Training Slides July 2014](#) (PPTX Format)
- [PPS Postdoc Appointment Data Entry Samples](#)