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## 3071: GENERAL GUIDELINES

The following policies and procedures are intended to supplement the **Memorandum of Understanding** with the Postdoctoral Unit and the Academic Personnel Manual (**APM 390**) and have been developed to support the University's goal of recruiting the highest quality research team by ensuring appointments are based on the essential job functions of the position.

Postdoctoral Scholars contribute to the educational and research mission of the University. The creativity and expertise provided by these individuals support scientific and scholarly advances.

A Postdoctoral appointment is a temporary appointment designed to give individuals the opportunity to conduct research under the guidance of a faculty mentor. The time spent as a Postdoctoral Scholar is in preparation for a permanent position in academe, industry, government, or the nonprofit sector. For many, Postdoctoral work is a critical step in securing future employment.

### A. DEFINITION

A Postdoctoral Scholar is an individual who:

- Has been awarded a doctoral degree (or equivalent) within the past ten years.
- Will pursue a full-time program of advanced training and research under the direction of a Principal Investigator (PI) with an appointment in an academic School or Organized Research Unit (ORU).
- Will be supported by campus research grants or contracts, by fellowships administered by the campus, or by other approved fund sources.
- Has not previously been a Postdoctoral Scholar for more than 5 years combined (this includes all institutions, domestic and international, as well as UC Merced).

### B. CATEGORIES OF POSTDOCTORAL APPOINTMENTS

Postdoctoral Scholar appointments differ with respect to compensation, benefits, and taxation. The source of support determines the category of the Postdoctoral Scholar. Members of all categories work with faculty mentors.

#### a. Postdoctoral Scholar - Employees (3252)

Paid a salary which may be supported by a) sponsor's research grants or contracts; b) general funds or opportunity funds; or c) other University discretionary funds (by exception only).

#### b. Postdoctoral Scholar - Fellows (3253)

Receives a stipend or fellowship from an extramural agency, administered through the University on behalf of the Fellow or the Fellow's faculty sponsor (e.g., NIH training grant).

#### c. Postdoctoral Scholar - Paid Direct (3254)

Has been awarded a fellowship or traineeship for postdoctoral study by an extramural agency. The agency pays the fellowship or traineeship directly to the Postdoctoral Scholar, rather than through the University.

Postdoctoral Scholars may be assigned to more than one Postdoctoral Scholar title concurrently, depending on University and extramural funding agency requirements. The total of the combined appointments may not exceed 100% time.

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## 3072: RECRUITMENT

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The University of California is an equal opportunity employer committed to excellence through diversity. In order to promote equal opportunity, an open recruitment must be conducted for Postdoctoral Scholars. The recruitment and selection process must be fully documented, reviewed, and approved before a proposed appointment will be acted upon. The Principal Investigator (PI) should work with the appropriate School staff member for assistance and confirmation of the recruitment process.

### RECRUITMENT PROCEDURE

The recruitment procedure should not begin until a funding source for the proposed appointment has been identified. Faculty members who do not yet have grant funding available must formally request to use **Bridge Funding**. This is a temporary measure to allow the use of faculty start-up funds only until the faculty member obtains research grants or other appropriate funding.

The recruitment process begins with the completion of the Non-Senate Job Posting Request form (**AP 401**). The PI may work in consultation with the School staff to complete the form, which provides a job description and requirements and indicates what supporting documentation is requested from the candidates. Supporting documents typically include, but are not limited to:

- Cover Letter
- CV
- Statement of Research
- List of References

Once approved by the School Dean, the AP401 form, (along with the Bridge Funding form, if needed) is forwarded to the Academic Personnel Office (APO) for posting on the UC Merced website. External ads are encouraged, but not required. The ad must remain open for at least thirty days before any scheduled interviews may occur.

### WAIVERS OF RECRUITMENT

It is understood that circumstances exist in which a Waiver of Recruitment is appropriate. Such circumstances include, but are not limited to:

- A candidate is so uniquely qualified for the position (e.g., based on research expertise, or specific knowledge, skills, or abilities) that an open recruitment is unlikely to result in attracting a more qualified individual.
- A new appointee relocates his or her laboratory to UC Merced and brings individuals who are currently funded by the project. Since the job is moving, the individuals employed on the project are moving with the job.
- A candidate is a faculty member's advisee and agrees to remain at UC Merced in a post-graduation appointment to complete the work on an ongoing project and/or to write the results for publication of the completed research.

The waiver of recruitment request should include a memo from the PI to the Dean detailing the reasons for the request, the credentials of the proposed candidate, and the expected impact of the candidate on the PI's research project. A copy of the candidate's curriculum vitae and any other supporting documents (e.g., letters of reference) should be forwarded along with the memo. Once the request has been approved by the Dean, the request packet should be forwarded to APO.

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## 3073: APPOINTMENT

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### A. TERMS OF SERVICE

Postdoctoral Scholar appointments are intended to provide a full-time program of advanced academic preparation and research training. Their terms of service are governed by a **Memorandum of Understanding** between the University of California and the United Auto Workers (UAW). These terms include:

- a. Initial appointments are of one year's duration, are temporary and have fixed end dates.
- b. Notice of appointment must be provided to the Postdoctoral Scholar no later than 30 days prior to the start of the appointment.
- c. Total duration of an individual's postdoctoral service may not exceed five years, including postdoctoral service at other institutions.
- d. It is within the University's sole discretion to appoint, reappoint, or not reappoint a Postdoctoral Scholar.

### B. APPOINTMENT FILE DOCUMENTATION & PROCEDURES

Upon final selection of a candidate, the PI, in conjunction with the School staff, will prepare an appointment request file, which will include:

- Completed Postdoctoral Scholar Appointment Form **AP16**
- Postdoctoral Scholar Personal Data Form **AP15**, completed by the candidate
- Verification of PhD degree
- Copy of the candidate's curriculum vitae

The request file shall be forwarded to the appropriate Dean for approval of the appointment. The completed file shall be forwarded to APO as Office of Record for personnel actions.

### C. SALARY

Beginning June 1, 2011, UC implemented the **Postdoctoral Scholar Experience-Based Salary/Stipend Minima** in accordance with the **NIH rates**. An individual Postdoctoral Scholar's level of pay is determined by calculating the total number of months of postdoctoral experience at any university.

See **Table 23** for the current salary scale.

All new Postdoctoral Scholar appointments must be at the salary level appropriate to the candidate's experience.

As of June 1, 2011, once a Postdoctoral Scholar is appointed at or above the appropriate experience level, all reappointments must be to at least the appropriate experience-based salary/stipend level.

- In the event a Postdoctoral Scholar initially appointed on or after June 1, 2011 receives a multiple-year appointment, the Postdoctoral Scholar must thereafter receive salary/stipend increases to the appropriate experience-based salary/stipend level on her/his anniversary date.
- If a Postdoctoral Scholar's salary/stipend amount is above the appropriate experience level on reappointment, or on her/his anniversary date for Postdoctoral Scholars with multi-year appointments, the Postdoctoral Scholar shall receive at least a two percent (2%) salary increase.

### D. PHASE-IN OF SALARY SCALE FOR POSTDOCTORAL SCHOLARS EMPLOYED AS OF AUGUST 12, 2010

From June 1, 2011 through May 31, 2014, a Postdoctoral Scholar receiving a salary/stipend below the appropriate experience rate shall be moved (on reappointment or anniversary date) to the appropriate salary rate for her/his experience level provided such move does not exceed a 3% increase from June 1, 2011 through May 31, 2013, and a 3.5% increase from June 1, 2013 - May 31, 2014. If the increase would exceed 3%, the Postdoctoral Scholar shall receive a 3% increase to her/his salary/stipend for the period through May 31, 2013, and 3.5% through May 31, 2014.

*Note: By June 1, 2014, campuses must have all Postdoctoral Scholars appointed on this scale.*

**BENEFITS**

Postdoctoral Scholars in all title codes (3252, 3253, 3254) must have health benefits coverage while employed at UCM. Please consult the **MOU** between UC and UAW for information.

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### 3074: MERIT, PROMOTION, APPRAISAL REVIEW

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A Postdoctoral Scholar may be reappointed up to a maximum of five years total. Reappointments are usually made for one year at a time, but may be for up to three years, or may be for less than a year under circumstances that include:

- Lack of full-year funding. For example, a PI may be waiting for renewal, but without confirmation of award, is advised to only appoint for the period he or she has funding.
- Continuation of the project is less than 1 year.
- Visa limitations.

#### PROCESS

Should a PI wish to reappoint a particular Postdoctoral Scholar, within the five-year limit, the PI, in conjunction with the School staff, will prepare an appointment request file, which will include:

- Completed Postdoctoral Scholar Appointment Form **AP 16**.
- Postdoctoral Scholar Annual Review Summary **AP441**

The request file shall be forwarded to the appropriate Dean for approval of the reappointment. The completed file shall be forwarded to APO as Office of Record for personnel actions.

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## 3075: SABBATICAL AND OTHER LEAVES

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### A. POSTDOCTORAL SCHOLARS ARE ELIGIBLE FOR:

#### 1. Personal Time Off (PTO)

Postdoctoral Scholars with 100% 12-month appointment are eligible to use up to twenty-four (24) work days of personal time off within a 12-month period. For more information, please refer to **Article 17** of the current agreement.

#### 2. Sick Leave

Postdoctoral Scholars are eligible for sick leave, without loss of compensation, for up to twelve days per twelve-month appointment period. All twelve (12) work days are available for use on the first day of appointment.

Appointees with less than 12-month appointments are eligible for sick leave in proportion to the appointment period; for example, a Postdoctoral Scholar with a six-month appointment is eligible for up to six days of sick leave.

For more information, please refer to **Article 22** of the current MOU.

#### 3. Other leaves

Subject to the provisions of **Article 12**, leaves of absence may be with or without pay, may be for medical purposes and/or non-medical reasons, and are subject to the approval of the University. Approved leaves do not continue beyond the predetermined end date of the Postdoctoral Scholar's appointment.

### B. TYPES OF LEAVE:

- Family Care/Medical Leave
- Pregnancy Disability Leave
- Personal Leave of Absence without Pay
- Bereavement Leave
- Jury Duty
- Military Leave
- Other leaves – Military Caregiver, Qualifying Exigency, Military Spouse/Domestic Partner

For more information, please refer to **Article 12** of the current agreement.

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**3076: DISCIPLINE**

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It is essential that any concerns about a Postdoctoral Scholar's performance be addressed in a timely manner. Complete documentation is essential and required. If any concerns develop, the PI should immediately reference **Article 5** of the current collective bargaining agreement.

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### 3077: GRIEVANCE PROCESS

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Postdoctoral Scholars may file a grievance if they believe the University has violated a specific provision in the current bargaining agreement. If a grievance is filed, the United Auto Workers (UAW) which represents the Postdoctoral Scholars may notify the University's Labor Relations (LR) or Academic Personnel Office (APO). If LR or APO contacts a PI about a grievance, they should respond to the inquiry or request for information as soon as possible. For more information, please refer to **Article 6** of the current agreement.