

**Implementation of New Policy on Postdoctoral Scholars and  
Phase-Out of Postgraduate Researcher and Visiting Postdoc Series**  
(Transition memo of May 7, 2004)

**Purpose**

This document provides information about the new systemwide definition of “Postdoctoral Scholar,” and the phase-out of the Postgraduate Researcher (3240) and Visiting Postdoc (3370) title codes. The information provided is intended to address likely questions regarding policy requirements for postdoc appointments. Further, in an effort to ease the transition process, alternative appointment options are suggested given the phase-out of two title codes (see page 3, “flow-chart” on Postdoctoral Scholar Classification).

**Overview**

In response to more than five years of national and UC-wide discussions regarding postdoctoral training, mentoring, and education, the UC Office of the President issued new section APM-390 on Postdoctoral Scholars, effective July 1, 2003. Beginning January 1, 2005, the University will begin phasing out use of the title codes 3240 and 3370. Only those postdocs who were appointed in these title codes prior to January 1, 2005, may continue, and be reappointed, in these title codes. New postdoctoral scholars must be appointed in title codes 3252, 3253, or 3254 beginning January 1, 2005.

A Postdoctoral Scholars Committee, composed of departmental faculty representatives, and staff from research units, the Office of Research, the Graduate Division, and Academic Personnel, was constituted to assist with campus implementation.

The committee, whose membership is listed at the end of this document and which was chaired by John Mohr, Associate Dean of the Graduate Division, met during winter 2004 to discuss implementation procedures, and to address possible areas of confusion among faculty and staff. Considering principles of fairness and flexibility, the committee produced this document to assist units with selecting the appropriate title for individuals involved in research, taking into account the individual’s and department’s expectations for the position, policy requirements, and the individual’s particular circumstances.

**Policy Provisions and Definitions**

APM-390 contains the following major provisions:

- Definition. The policy *redefines* postdocs as *only* “**temporary appointees pursuing a full-time program of advanced academic preparation and research training under faculty mentorship**.” UCSB interprets “faculty mentorship” to include mentorship by professional researchers, as well. The vast majority of postdocs at UCSB are employees of the University. UCSB also has a small number of postdocs on fellowship or who are paid directly by their sponsoring agencies.

- **Appointment Duration.** Postdoc appointments are temporary. Appointments are typically made for one year at a time, but may be made for any length of time up to three years, if funding is secure. Appointments are renewable up to a maximum of five years, or by exception, up to six years.
- **Salaries and Stipends.** A common salary/stipend scale, initially ranging from \$29,000 to \$75,324, has been established for postdocs.
- **100 Percent Time.** Appointments are made at 100 percent time, unless an exception is granted by the Dean of the Graduate Division at the request of the postdoc.

All new postdocs, whether employees or on fellowship, are to be entered into the payroll system in the appropriate title code. The three choices are as follows:

- **Postdoctoral Scholar- Employee (3252),** available beginning January 1, 2005. Used when payment for the appointment will be made via the University payroll system. Positive time appointment in PPS.
- **Postdoctoral Scholar- Fellow (3253),** available beginning July 1, 2003. Used when the scholar has been awarded a fellowship or traineeship that will be paid through a University account, but not through the payroll system [i.e., paid according to the requirements of the fellowship]. Appointed without salary in PPS.
- **Postdoctoral Scholar- Paid Direct (3254),** available beginning July 1, 2003. Used when the scholar is paid a fellowship or traineeship directly by the granting agency. Appointed without salary in PPS.

### **Classification and Selection of Appropriate Title Code**

The “flow chart” (page 3) and appointment form letter (page 4) that follow provide information about determining whether an individual should be classified as a postdoctoral scholar, and selecting the appropriate postdoc or non-postdoc title code.

### **Postdoctoral Scholars Committee Members**

Diane Benell, Michael Bowers, Shanna Bowers, Kathy Graham, John Mohr (Chair), Jennie Pittman, Tanya Plant, Cindy Ponce, Tim Schmidt, Pat Sheppard, Alec Wodtke, Sue Marton

**Is the individual a Postdoctoral Scholar?**

- 1) Has a doctoral degree been awarded?
- 2) Is the primary purpose of the hire to:
  - A) Provide an advanced academic and research training opportunity to the individual under faculty mentorship? OR
  - B) Provide support for a research grant?

If “yes” and “A,” the individual is a postdoc, and certain policy requirements must be met. Otherwise, the individual is not a postdoc, but may be appointed within another series.

**If the individual is a postdoc, certain requirements must be met, per APM-390 and Red Binder III-18.**

**Postdoctoral Scholars MUST:**

- Be appointed at **100% time** (unless an exception is granted at the request of the postdoc)
- Have a **current appointment of no more than 3 years** (Note that the temporary nature of the position raises issues for international scholars seeking green card sponsorship.)
- Receive a **minimum salary** according to the established salary scale

Select **Title Code 3252** if payment will be made via the University payroll system.

Select **Title Code 3253** if payment will be made through a University account, but according to fellowship requirements. Appoint without salary in PPS.

Select **Title Code 3254** if payment will be made directly by the granting agency to the postdoc. Appoint without salary in PPS.

**If the individual is NOT a postdoc, use of another series may be appropriate.**

**Specialist Series:** used for academic appointees who assist in research in specialized areas and who do not have teaching duties. See Red Binder III-16. Partial-time appointments may be made in this series. Minimum salary requirements apply. Green card sponsorship may be sought for individuals in this series.

**Project Scientist Series:** used for individuals who make significant and creative contributions to a research or creative project. Demonstrated capacity for fully independent research is not required, but a broad range of knowledge and competency is expected. See Red Binder III-14. Minimum salary requirements apply. Green card sponsorship may be sought for individuals in this series.

**Professional Research Series:** used for individuals who engage in independent research equivalent to that required for the Professor series, including those who make significant and creative contributions to a research project or provide technical assistance to research activity. See Red Binder III-12. Partial-time appointments may be made in this series. Minimum salary requirements apply. Green card sponsorship may be sought for researchers in this series.

## Postdoctoral Scholar Appointment Form Letter

(Attach UCSB Biography for all appointments. Attach Summary B or exception to open recruitment approval for paid appointments of one year or more.)

Date: \_\_\_\_\_

Department: \_\_\_\_\_

Postdoctoral Scholar name: \_\_\_\_\_

Begin date of current appointment: \_\_\_\_\_

End date of current appointment: \_\_\_\_\_

Postdoctoral Scholar appointment requires both statements below to be true:

- The individual has been awarded a doctoral degree (e.g., Ph.D., M.D., D.D.S., D.M.A., D.N.Sc., D.Pharm, D.P.H., Ed.D. or foreign equivalent) within the past five years.
- The primary purpose for the hire is to provide an advanced academic and research training opportunity to the individual under the direction of a faculty mentor.

Select one of the following Postdoctoral Scholar title codes:

- Title Code 3252: Payment will be made to the postdoctoral employee via the University payroll system.
- Title Code 3253: Payment will be made through a University account, but according to the requirements of a fellowship; appoint without salary in PPS
- Title Code 3254: Payment will be made directly by the granting agency to the postdoc; appoint without salary in PPS

Annual dollar amount of support from external sources: \_\_\_\_\_

Annual dollar amount of support from university sources: \_\_\_\_\_

Total annual dollar amount of support from all sources: \_\_\_\_\_

*Total annual dollar amount must meet or exceed the established salary minimum.*

Percentage of time:       100%       Less than 100%

JUSTIFICATION FOR EXCEPTION TO 100% TIME:

\_\_\_\_\_  
Postdoctoral Scholar Signature

\_\_\_\_\_  
Chair/Director Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Dean of Graduate Division Signature (if exception requested and approved)

\_\_\_\_\_  
Date

**Title codes 3252, 3253, and 3254: If no exceptions to policy are required to appoint this postdoctoral scholar, the appointment may be entered into PPS. This form is to be maintained in departmental files. If an exception to policy is requested, submit this form to Graduate Division.**