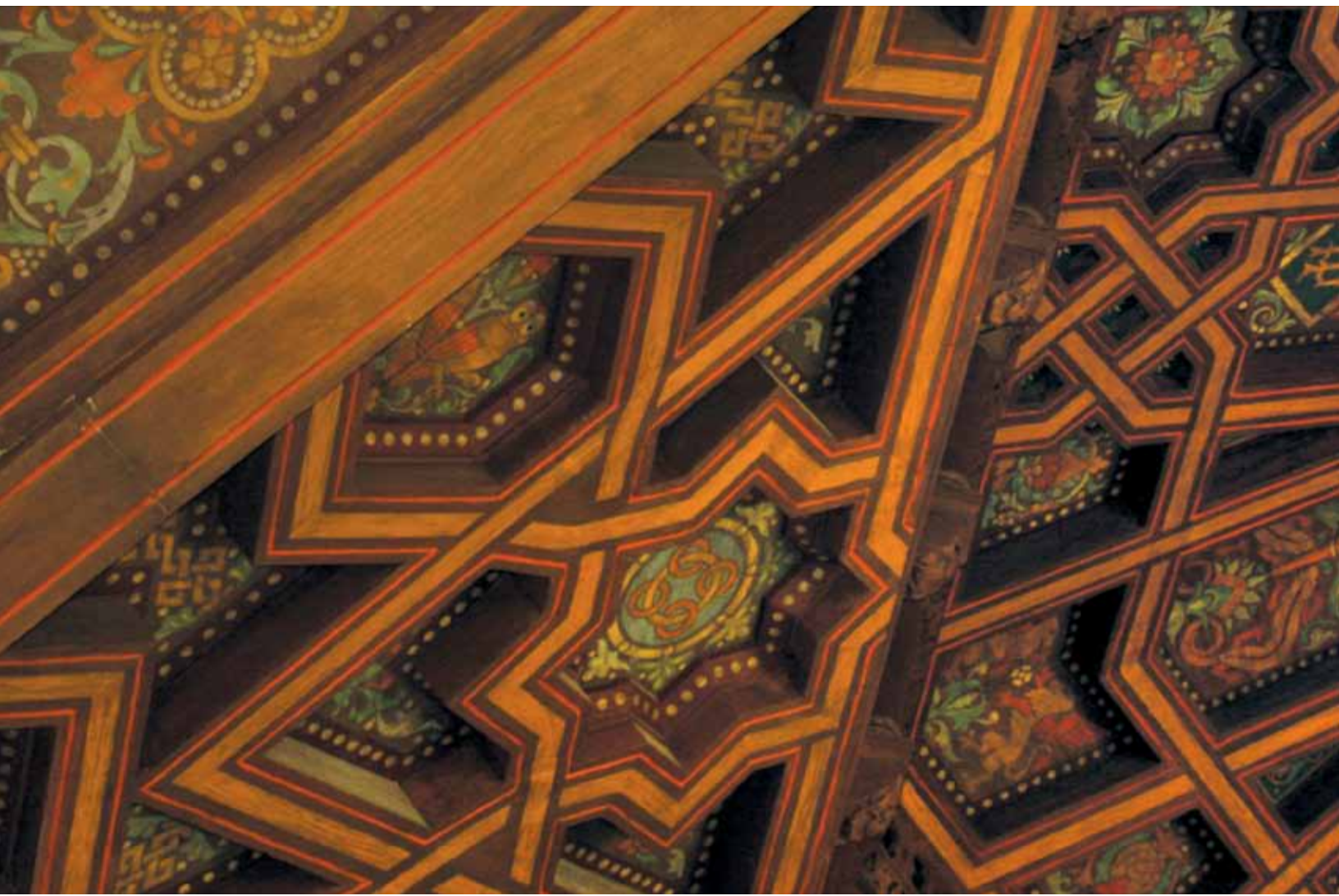


**Tool Kit**  
for Postdoctoral Scholars  
and Faculty Mentors





# **Tool Kit**

## for Postdoctoral Scholars and Faculty Mentors

**UCLA** GRADUATE DIVISION

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Office of Postdoctoral and Visiting Scholar Services



Dear Postdoctoral Scholar and Faculty Mentor,

UCLA maintains one of the largest postdoctoral training programs across the nation. Each year over 1,000 Postdoctoral Scholars prepare for academic and research careers under the supervision of Faculty Mentors. During this period of apprenticeship, the working relationship of the Postdoctoral Scholar and Faculty Mentor is critical to the success of numerous research projects on campus and the necessary training of young scholars on the path towards becoming independent professionals.

I would like to introduce you to the resources available to enhance your working relationship. I encourage you to read through these materials carefully, and to clearly document the roles, responsibilities and short- and long-term goals at the beginning of the appointment period in order to minimize potential misunderstandings.

First, all of the policies and procedures related to Postdoctoral Scholar appointments are governed by UC-wide policy as set forth by the **Academic Personnel Manual 390 (APM 390)**. This policy details rights and responsibilities, as well as specifics about time-off, grievances, sick leave, benefits, etc. Please consult this guide frequently during the course of your postdoctoral appointment. Second, the local **UCLA Office of Postdoctoral and Visiting Scholar Services** at 1228 Murphy Hall is available to assist you in interpreting these policies. This office works collaboratively with your department for any questions that may arise during your appointment period. Please visit our website at <http://www.gdnet.ucla.edu/postdocs.html>

Third, we very strongly encourage the use of three attached tools that other institutions have found to be invaluable components of the postdoctoral training process:

**The Compact Between Postdoctoral Scholars and Faculty Mentors.** This document, which is signed by both parties, articulates the roles and responsibilities of both the Postdoctoral Scholar and the Faculty Mentor.

**The Research/Career Development Plan & Periodic Evaluation** is the vehicle by which you can document short-term and long-term goals and objectives, as well as long-term career aspirations. This Plan should be discussed and agreed upon as soon as possible. This document should not be viewed as being fixed in stone, however, but should be subject to revision and refinement as needed during the training period. We have included a suggested format for the Development Plan.

The **Annual Evaluation** should be incorporated as a regular feature of postdoctoral training. An up-to-date written evaluation will be required for all re-appointments of Postdoctoral Scholars. The attached document is also only a suggested format, subject to refinement in accordance with disciplinary practices and individual needs. The precise format of the evaluation is secondary to the process of regular feedback on the scholar's progress and a documented assessment of the scholar's overall performance over the course of the year.

Thank you for taking part in such an important training program at UCLA. The Graduate Division endeavors to make this a mutually beneficial research and learning experience and encourages feedback about how we can improve the scholar-mentor experience at UCLA. Please feel free to contact Lisa Itagaki, Director, Office of Postdoctoral and Visiting Scholar Services if you have any questions or suggestions.

Sincerely,

A handwritten signature in cursive script that reads "M. Belinda Tucker".

M. Belinda Tucker  
Associate Dean, Graduate Division

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## On the cover

The ceiling of Powell Library.  
Photograph by Mary Watkins.

# Guidelines for Postdoctoral and Visiting Scholar Appointments

# Contacts

## **UCLA Graduate Division**

Office of Postdoctoral and Visiting Scholar Services  
1228 Murphy Hall  
Box 951444, MC 144401  
Los Angeles, CA 90095-1444

M. Belinda Tucker  
Associate Dean, Graduate Division  
(310) 206-3411  
mbtucker@gdnet.ucla.edu

Lisa M. Itagaki, Director  
(310) 825-0636  
litagaki@gdnet.ucla.edu

Paolo Daniele, Administrative Analyst  
(310) 825-4247  
pdaniele@gdnet.ucla.edu

## **Academic Personnel Office**

3109 Murphy Hall  
Box 951407, MC 140701  
Los Angeles, CA 90095-1407  
(310) 825-3841  
(310) 206-9643 (fax)

## **Postdoctoral Scholar Benefits Plan**

Garnett-Powers & Associates Benefits  
23361 Madero, Suite 240  
Mission Viejo, CA 92691  
Call Monday - Friday, 8 am - 5 pm  
Toll free at 1-800-254-1758  
psbp@garnett-powers.com

## **Society of Postdoctoral Scholars at UCLA**

For news, events, and resources, visit  
[www.postdoc.ucla.edu](http://www.postdoc.ucla.edu)

## **David Geffen School of Medicine & Division of Life Sciences Office of Postdoctoral Affairs**

Ren Sun, Associate Dean, Graduate Studies  
(310) 206-2298  
rsun@mednet.ucla.edu

Lynn Talton Yamamoto, Postdoctoral Affairs Officer  
Center for the Health Sciences (CHS) Building 17-229  
ltalton@mednet.ucla.edu

Victoria Bender, scheduling and support for Ren Sun  
(310) 206-2298  
vbender@mednet.ucla.edu

Compact language excerpted from:  
[www.aamc.org/postdoccompact](http://www.aamc.org/postdoccompact):

The Association of American Medical Colleges (AAMC) Compact was drafted by the Group on Graduate, Research, Education, and Training (GREAT) and its Postdoctorate Committee. It is modeled on the AAMC Compact Between Resident Physicians and Their Teachers, available at [www.aamc.org/residentcompact](http://www.aamc.org/residentcompact). Input on the document was received from the GREAT Group Representatives, members of the AAMC governance, and other members of the postdoctoral community, including the National Postdoctoral Association. At its October 8, 2006, annual business meeting, the GREAT Group unanimously endorsed the document. The document was subsequently endorsed by the AAMC Executive Committee on October 20, 2006.

# Definitions

## Postdoctoral Scholars (APM 390-4)

Postdoctoral Scholar appointments are temporary positions with fixed end dates intended to provide a full-time program of advanced academic preparation and research training to prepare them for the transition from graduate school to careers in academia and industry.

Postdoctoral Scholars train under the direction and supervision of Faculty Mentors in preparation for academic and research careers. In addition to pursuing advanced preparation in research, Postdoctoral Scholars may be approved to engage in other activities to enhance teaching and other professional skills. If formal teaching duties are assigned, a Postdoctoral Scholar must hold both a Postdoctoral Scholar title and an appropriate teaching title. Under this circumstance, the full-time Postdoctoral Scholar appointment percentage will be reduced accordingly.

Individuals pursuing clinical fellowships and residencies in the health sciences are excluded from appointment to these titles. Ordinarily, Postdoctoral Scholars are not permitted to serve as principal investigators on extramurally-sponsored contracts or grants. Because the University recognizes that proposal preparation is an important aspect of most postdoctoral training, campuses may permit Postdoctoral Scholars to serve as principal investigators on awards that are restricted to Postdoctoral Scholars, on small awards for research expenses or travel, or in other circumstances approved by the Chancellor.

## Appointment Requisites

Appointments are typically made for one year, but may be made for up to three years. In order to qualify for appointment as a Postdoctoral Scholar, the individual must:

- Provide evidence of completion of a doctoral degree received within the past ten years, and
- Have **no more than five years** of cumulative postdoctoral research experience, including postdoctoral service at other institutions.
- Note: the five-year term limitation does not include medical residencies or clinical appointments.

## Visiting Scholars

Visiting Scholars are senior scholars and distinguished visitors who hold a doctoral degree or the foreign equivalent and who hold an appointment comparable to those of UCLA faculty, and are usually on temporary leave from their universities or research centers. They visit the campus for relatively short periods of time, usually no longer than a year, serve as senior researchers, collaborate on research projects and publications with faculty members, and pursue independent research.

Ordinarily, Visiting Scholars are self-supported, or have adequate support funds from sources outside the University and are considered peers of the faculty, unlike Postdoctoral Scholars who enroll with the Graduate Division for an approved postdoctoral research and training objective under faculty supervision.

Please note: if a department wishes to assign formal teaching or research duties to a Visiting Scholar, it should plan to compensate them accordingly using an appropriate payroll title code reflecting the nature of their assignment (i.e., Visiting Assistant Professor, Lecturer, Visiting Assistant Researcher). Please consult with the Academic Personnel Office for further instructions.

# Postdoctoral Scholar Titles & Title Codes

## **3252: PDS–Employee**

An appointment is made to the title “Postdoctoral Scholar–Employee” 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.

## **3253: PDS–Fellow**

An appointment is made in the title “Postdoctoral Scholar–Fellow” when:

1. The Postdoctoral Scholar has been awarded a fellowship or traineeship for postdoctoral study by an extramural agency, and;
2. the fellowship or traineeship is paid through a University account through the Graduate Division (i.e., Form 10).

## **3254: PDS–Paid Direct**

An appointment is made to the title “Postdoctoral Scholar–Paid Direct” when:

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

## **3240: Postgraduate Researcher (PGR)**

1. Starting January 1, 2005, the University began phasing out the use of title code 3240–Postgraduate Researcher.
2. Only those who were appointed in this title code prior to January 1, 2005, may continue in title code 3240. Title code 3240 will be retired January 1, 2010.

All provisions of APM 390 apply to the Postgraduate Researcher, with the exception of:

- 390-60: Sick Leave
- 390-61: Time-off
- 390-76: Benefit Plans
- Note, however, that payroll coding does not change for the PGR 3240 title.

## **Teaching Appointments**

### **Postdoctoral Scholar**

When Postdoctoral Scholars are assigned teaching duties, they must be appointed to an appropriate teaching title code. Please refer to the Academic Personnel Office’s (APO) website [www.apo.ucla.edu](http://www.apo.ucla.edu) or [www.ucop.edu/acadadv/acadpers/title.html](http://www.ucop.edu/acadadv/acadpers/title.html) to assign the appropriate title code in Payroll. Postdoctoral Scholars may be appointed as “lecturers,” but cannot be designated as “without salary” (WOS) using this title code. Therefore, during the quarter of the teaching appointment, the percentage of Postdoctoral Scholar effort will be reduced so that percent effort is 100% (postdoctoral scholar + teaching appointment). Postdoctoral Scholars **MAY NOT** be appointed as Teaching Assistants, Readers, or Tutors.

### **Visiting Scholars**

If a Visiting Scholar is assigned formal teaching duties, they must be assigned an appropriate teaching title code, including an appropriate rank designation (see the APO website: [www.apo.ucla.edu](http://www.apo.ucla.edu) or [www.ucop.edu/acadadv/acadpers/title.html](http://www.ucop.edu/acadadv/acadpers/title.html)). Such appointees must be paid the salary attached to that title code and rank. Appointments to any “without salary” (WOS) title codes must be approved by APO and the Office of Postdoctoral and Visiting Scholar Services.

# UC-Wide Policy

The Academic Personnel Manual, Section 390 (APM 390), defines and sets forth terms and conditions relating to the appointment of Postdoctoral Scholars. It applies to both (1) Postdoctoral Scholars who are employees of the University and (2) Postdoctoral Scholars who are appointed as fellows and paid stipends (“Fellowship”) by extramural agencies either directly or through the University. Note: all provisions of APM 390 apply to the appointment of Postgraduate Researchers, as well, with the exception of sections 60 (Sick Leave), 61 (Time Off) and 76 (Benefit Plans). A copy of APM 390 is attached in Appendix A.

## UCLA Graduate Division, Office of Postdoctoral and Visiting Scholar Services

UCLA Graduate Division has the delegated authority to approve appointments and reappointments of Postdoctoral Scholars. Associate Dean M. Belinda Tucker serves as the institutional official with purview over postdoctoral appointments. However, all postdoctoral paperwork should be submitted to the Office of Postdoctoral & Visiting Scholar Services (1228 Murphy; MC: 144401).

### Services

- University Policy & Procedural Information
- Appointment Forms & Instructions
- Links to scholarly publications of interest to academic researchers
- Postdoctoral Extramural Support Database
- Postdoctoral Scholar Directory
- Deferment of Student Loans
- Certificates of Completion
- Chancellor’s Award for Postdoctoral Research & Postdoctoral Scholars Reception
- Grievance Mediation
- Individual fellowship applications and post-award administration

- Visiting Scholar appointments
- Monthly Postdoctoral Scholar Orientations

### Resources

#### Administrative

[postdocadmin@lists.ucla.edu](mailto:postdocadmin@lists.ucla.edu)

Created to post announcements to departmental staff of updates to postdoctoral services.

#### Academic

[uclapostdoc@lists.ucla.edu](mailto:uclapostdoc@lists.ucla.edu)

Created to provide administrative and scholarly information to the UCLA Postdoctoral Scholar community.

#### Society of Postdoctoral Scholars

[www.postdoc.ucla.edu](http://www.postdoc.ucla.edu)

Job postings, events, forums and news for Postdoctoral Scholars at UCLA.

# Appointment Process

- 1) The department offers a position to a Postdoctoral Scholar by providing the “notice of appointment” from the Faculty Mentor, which the scholar is required to accept in writing. An appointment letter template is attached in Appendix B and is also available on the Graduate Division website (<http://www.gdnet.ucla.edu/gss/postdoc/frmsintro.htm>). The letter should include:
  - Faculty Mentor’s name
  - Begin and end dates of appointment
  - Salary/stipend amount
  - Source of funding
  - Work eligibility requirements for US citizens and non-citizens
  - A copy of APM 390 and a summary of benefits, or corresponding website information, shall accompany the notice
  - The Postdoctoral Scholar is required to accept the appointment (and reappointment) in writing
- 2) All postdoctoral appointees will be required to complete the hiring paperwork before the appointment is entered into the Employee Database. A checklist of applicable forms is provided on the Graduate Division’s website ([www.gdnet.ucla.edu/ucla/gss/pdsemploychcklst.pdf](http://www.gdnet.ucla.edu/ucla/gss/pdsemploychcklst.pdf)) or see Appendix C. The department processes the appointment in the payroll system (under the appropriate title code) and sets the scholar up with benefits.
- 3) The department then submits the official appointment and the following paperwork for the Associate Dean’s approval:
  - Signed Notice of Appointment
  - Postdoctoral Scholar Appointment Form (copy attached in Appendix D)
  - Postdoctoral Scholar Personal Data Form (copy attached in Appendix E)
  - Evidence of completion of doctoral degree
  - Statement of objective
  - A current curriculum vitae
- 4) Graduate Division reviews the appointment and maintains a record of the scholar. If the Graduate Division is unable to approve the appointment request, the department is notified as to a more suitable title.
- 5) Upon approval of the appointment, the Graduate Division will issue a letter of welcome to the Postdoctoral Scholar, which is needed to obtain the UCLA Bruin Card or Medical ID badge. Postdoctoral Scholars enjoy the benefits of Bruin Online services, reduced course enrollment fees with UCLA Extension (UNEX), faculty-level library access membership eligibility with the faculty and recreational centers, and University housing eligibility and childcare services.
- 6) All revisions to the appointment must be reported to the Graduate Division via submission of the appointment form. Reportable revisions include appointment extensions, early terminations and change of mentor and/or department.
- 7) In furtherance of fostering a Postdoctoral Scholar’s career, the Faculty Mentor shall conduct frequent reviews of performance. **A copy of the written annual evaluation, updated Postdoctoral Scholarship Data Form, and CV is required for the reappointment of the Postdoctoral Scholar.**
- 8) Upon end of the appointment period, the department must submit a Postdoctoral Scholar Appointment Form, with the box checked “End,” to officially separate the postdoctoral scholar from UCLA.

# UC Postdoctoral Scholar Benefits Plan

The UC Postdoctoral Scholar Benefits Plan is a comprehensive package of benefits designed to closely match the UC Faculty/Staff plan. Coverage includes medical, dental, vision, life, Accidental Death & Dismemberment (AD&D), workers' compensation, short-term disability, and voluntary long-term disability coverage. Complete information is available online at: [www.garnett-powers.com/postdoc/](http://www.garnett-powers.com/postdoc/)

## Postdoctoral Scholar Benefits Plan Enrollment

- Postdoctoral Scholars should go directly to At Your Service Online (AYSO) <http://atyourservice.ucop.edu/> during their Period of Initial Enrollment to select benefits.
- Note: if the scholar or his/her dependents do not have a social security number, he/she cannot enroll through AYSO and will need to complete the online enrollment and beneficiary forms at [www.garnett-powers.com/postdoc/enrollment.htm](http://www.garnett-powers.com/postdoc/enrollment.htm) to secure PSBP coverage. Once completed, the scholar prints the forms and submits to his/her department for processing in the PPS. Once processed, both forms should be mailed to the Campus Human Resources benefits representative.

## University Contributions

- For all postdoctoral scholars, 100% of the premium must be paid by the sponsoring department, with the exception of PPO medical enrollments, which have varying contribution levels depending on the number of enrolled dependents (30/60/90).
- The following benefits **require** 100% University contribution, including employees, fellows and paid-directs (rates as of January 2009). The scholar **CANNOT** be required to pay for these benefits:
  - Workers' Compensation (\$29.89/month)
  - Life Insurance, including AD&D (\$3.65/month)
  - Short-term Disability (\$6.21/month)

TOTAL: \$39.25/month

PSBP: NIH T32/F32 allowable charges

- The NIH T32 & F32 grants will not permit charging of the Life/AD&D (\$3.65) and Workers' Comp assessments (\$29.89) of the UC PSBP. Another fund source will have to be identified to cover these expenses.

## Postgraduate Researcher (PER) Benefits

- Current PGR appointees will retain their existing staff/faculty health and welfare benefits, including membership in the University of California Retirement Plan (UCRP), if applicable.
- As such, they will not be eligible for the new PSBP.

## Repatriation/Medical Evacuation Coverage for J1 visa-holders

- Federal regulations require each non-resident exchange visitor (J1 visa-holder) to have insurance in effect which covers the exchange visitor for sickness or accident for the duration of their appointment.
- Effective **January 1, 2007**, the PSBP includes repatriation/medical evacuation coverage under its Life/AD&D insurance, including coverage for both the J1 visitor and, if applicable, their PSBP-enrolled dependents.
- UC Staff and Faculty Benefits (i.e. PGR) will **NOT** include the repatriation/medical evacuation coverage.

## UC Retirement Plan (UCRP)

- APM 390-75 states that the 3252 employee, who is a citizen or resident alien, will contribute to the Defined Contribution Plan.
- Titles 3253 & 3254, being "non-employee" titles, are not eligible for DCP-Casual.
- All new postdoctoral titles are ineligible for the UCRP.

# Frequently Asked Questions

## Minimum Pay Requirements

- Minimum salary/stipend levels:
  - October 2008: \$35,500
  - October 2009: \$37,000 (or NIH stipend minimum, whichever is higher)
- The maximum of the range is \$80,880, which will be range adjusted in subsequent years in accordance with adjustments made for other non-exclusively represented, non-Senate academic appointees.

## H1B visa -holders

When requesting an appointment for an H1B visa-holder, UCLA policy requires that they receive the prevailing wage, or a minimum salary of \$36,360/year. **Note: the H1B visa is strictly employment-based. An individual who carries an H1B visa cannot receive fellowship payments as their primary source of income and must hold a 100% PDS-Employee (or PGR- see page 10) appointment.**

## Appointment Percentage

Appointments to the Postdoctoral Scholar titles are full-time (100%), based on the expectation that the Postdoctoral Scholar will be fully involved in scholarly pursuits. When a PDS additionally holds a University teaching appointment, or other University position, the percent-time of the PDS appointment normally will be reduced so that the sum of the percentages of the two appointments equals 100%.

## Exceptions to Policy

Exceptions are considered for the appointment percentage, term limitations and minimum pay level upon written request of the appointee and concurrence of the mentor. Exceptions should be addressed to Associate Dean M. Belinda Tucker and submitted to the Office of Postdoctoral & Visiting Scholar Services (1228 Murphy; MC 144401).

## Supplementation – “Additional Compensation”

- To generate additional pay for a 3253 PDS–Fellow and/or 3254 Paid Direct, the department will pay under the payroll title of 3252.
- The additional compensation is processed at the percent time equal to the number of hours the scholar works in addition to the full-time requirement of the 3253/54 appointment (25% = 10 hours per week).
- The 3253/54 appointment is processed at the percent time so that the sum of both appointments is 100%.

## Relocation Requests

- The department should process the relocation request in Bruinbuy.
- Forward all paperwork including PO# to the Office of Postdoctoral and Visiting Scholar Services, 1228 Murphy Hall, MC 144401 for Associate Dean M. Belinda Tucker’s approval.
- Paperwork will then be forwarded on to the Academic Personnel Office for their approval. Once approved by APO, the Bruinbuy request is released for payment.

## Ruth L. Kirschstein National Research Service Awards (NRSA)

### for Individual Predoctoral (F31) & Postdoctoral (F32) Fellows

Associate Dean M. Belinda Tucker serves as the institutional official for all pre- and postdoctoral fellowship applications and related paperwork. The Office of Postdoctoral and Visiting Scholar Services provides administrative oversight and assists with the review and eventual activation of all individual NRSA’s. All documents requiring Associate Dean Tucker’s signature should be submitted to the Office of Postdoctoral and Visiting Scholar Services, located in 1228 Murphy Hall.

For more information, please see Graduate Division’s NIH administration page at [www.gdnet.ucla.edu/gss/postdoc/nihadmin.htm](http://www.gdnet.ucla.edu/gss/postdoc/nihadmin.htm)

# Guidelines

## Postdoctoral Scholar and Faculty Mentor Relations

# Compact Between Postdoctoral Scholars and Faculty Mentors

At the University of California, Los Angeles, the postdoctoral experience emphasizes scholarship and continued research training for individuals who have recently completed a doctoral degree. The Postdoctoral Scholar conducts research under the general oversight of a UCLA Faculty Mentor in preparation for a career position in academe, industry, government or the non-profit sector. 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 contribute to the academic community by enhancing the research and education programs of the University. They bring expertise and creativity that enrich the research environment for all members of the University community, including graduate and undergraduate students. The University strives to provide a stimulating, positive, and constructive experience for the Postdoctoral Scholar by emphasizing the mutual commitment and responsibility of the institution, the faculty and the Postdoctoral Scholar.

**It is the mutual responsibility of the Postdoctoral Scholar and Faculty Mentor to establish well-defined goals and objectives at the start of the appointment and to meet periodically to evaluate the Postdoctoral Scholar's progress and performance.** The scholar-mentor working relationship is one built upon open communication, constructive feedback and continuous evaluation, scholarly growth and encouragement.

## Core Tenets of Postdoctoral Training

### Institutional Commitment

Institutions that train Postdoctoral Scholars must be committed to maintaining the highest standards of training and to providing a program sufficient to ensure, that when completed, the Postdoctoral Scholar can function independently as a professional. The UCLA Office of Postdoctoral and Visiting Scholar Services provides administrative oversight for terms of appointment, salary, benefits, grievance procedures, and other matters relevant to the support of Postdoctoral Scholars. Associate Dean of Graduate Division M. Belinda Tucker is the

institutional official responsible for all postdoctoral and visiting scholar affairs.

### Quality Postdoctoral Training

Individuals should be trained to independently design and conduct research projects, to analyze results critically, to understand the broad significance of their research findings, and to uphold the highest ethical standards in research. The development of additional skills—including oral and written communication, grant writing, presentation and publication of research findings, and teaching—are considered integral to this training. Increasingly, funding agencies also wish to see evidence that training in the responsible conduct of research (RCR) has been provided.

### Importance of Mentoring in Postdoctoral Training

Effective mentoring is critical for postdoctoral training and requires that the primary mentor dedicate substantial time to ensure personal and professional development. A good mentor builds a relationship with the Postdoctoral Scholar that is characterized by mutual respect and understanding. Attributes of a good mentor include being approachable, available, and willing to share his/her knowledge; listening effectively; providing encouragement and constructive criticism; and offering expertise and guidance.

### Foster Breadth and Flexibility in Career Choices

Postdoctoral Scholars must have training experiences of sufficient breadth to ensure that they are prepared to pursue a wide range of professional career options. Effective and regular career guidance is essential and should be provided by the mentor, the department, and the institution. This area is also the subject of increasing attention by federal agencies that consider career development to be a fundamental component of the training experience.

We strongly encourage faculty mentors and postdoctoral scholars to review, sign, and maintain this Compact, which is a statement of the responsibilities of mentors and trainees. You may wish to periodically review the Compact as a reminder of the commitment you have made to the relationship.

## **Responsibilities of Postdoctoral Scholars**

- I acknowledge that I have the primary responsibility for the development of my own career. I recognize that I must take a realistic look at career opportunities and follow a path that matches my individual skills, values, and interests.
- I understand that it is my responsibility to develop a mutually defined research project with my mentor that includes well-defined goals and timelines. This project should be outlined and agreed upon at the time of the initial appointment.
- I will perform my research activities conscientiously, maintain good research records, and catalog and maintain all tangible research materials that result from the research project.
- I will endeavor to assume progressive responsibility and management of my research project(s) as it matures. I recognize that assuming responsibility for the conduct of research projects is a critical step on the path to independence.
- I will respect all ethical standards when conducting my research including compliance with all institutional and federal regulations as they relate to responsible conduct in research, e.g. privacy and human subjects research, animal care and use, and laboratory safety. I recognize that this commitment includes asking for guidance when presented with ethical or compliance uncertainties and reporting on breeches of ethical or compliance standards by me and/or others.
- I will show respect for and will work collegially with my coworkers, support staff, and other individuals with whom I interact.
- I will seek regular feedback on my performance and ask for a formal evaluation at least annually.
- I will have open and timely discussions with my mentor concerning intellectual property rights, authorship and dissemination of research findings, distribution of research materials to third parties, and submission of research results for publication in a timely manner.
- I recognize that I have embarked on a career requiring “lifelong learning.” To meet this obligation I must stay abreast of the latest

developments in my specialized field through reading the literature, regular attendance at relevant seminar series, and attendance at scholarly meetings.

- I will actively seek opportunities outside the parameters of the research project (e.g. professional development seminars and workshops, teaching) to develop the full set of professional skills necessary to be successful for my chosen career.

## **Responsibilities of Faculty Mentors**

- I acknowledge that the postdoctoral period is a time of advanced training intended to develop the skills needed to promote the career of the Postdoctoral Scholar.
- I will ensure that a mutually agreed upon set of expectations and goals are in place at the outset of the postdoctoral training period, and I will work with the Postdoctoral Scholar to create a development plan.
- I will strive to maintain a relationship with the Postdoctoral Scholar that is based on trust and mutual respect. I acknowledge that open communication and periodic formal performance reviews, conducted at least annually, will help ensure that the expectations of both parties are met.
- I will promote all ethical standards for conducting research including compliance with all institutional and federal regulations as they relate to responsible conduct in research, e.g. privacy and human subjects research, animal care and use, and laboratory safety. I will clearly define expectations for conduct of research in my lab and make myself available to discuss ethical concerns as they arise.
- I will ensure that the Postdoctoral Scholar has sufficient opportunities to acquire the skills necessary to become an expert in an agreed upon area of research.
- I will provide the scholar with the required guidance and mentoring, and will seek the assistance of other faculty and departmental/institutional resources when necessary. I recognize that I must also educate the Postdoctoral Scholar by example and by providing access to formal opportunities/programs in complementary areas necessary for a successful career.

- **I will provide a training environment that is suited to the individual needs of the Postdoctoral Scholar in order to ensure his/her personal and professional growth.** I will encourage a progressive increase in the level of responsibility and independence to facilitate the transition to a fully independent career.
- I will encourage the interaction of the Postdoctoral Scholar with fellow colleagues both intra- and extramurally and encourage the scholar's attendance at professional meetings to network and present research findings.
- **I will ensure that the research performed by a Postdoctoral Scholar is submitted for publication in a timely manner and that she/he receives appropriate credit for the work performed.** I will acknowledge the scholar's development of any intellectual property and will clearly define future access to tangible research materials according to institutional policy.
- **I recognize that there are multiple career options available for a Postdoctoral Scholar and will provide assistance in exploring appropriate options.** I recognize that not all Postdoctoral Scholars will become academic faculty. To prepare a Postdoctoral Scholar for other career paths, I will direct her/him to the resources that explore non-academic careers, and discuss these options.
- **I will commit to being a supportive colleague to Postdoctoral Scholars as they transition the next stage of their career and to the extent possible, throughout their professional life.** I recognize that the role of a mentor continues after the formal training period.

This compact serves both as a pledge and a reminder to Faculty Mentors and their Postdoctoral Scholars that their conduct in fulfilling their commitments to one another should reflect the highest professional standards and mutual respect.

---

Postdoctoral Scholar signature

Date

---

Faculty Mentor signature

Date

# Research/Career Development Plan & Periodic Evaluation

The purpose of this form is to help guide the Postdoctoral Scholar and Faculty Mentor through the development plan and the evaluation process and to document final performance results. Postdoctoral Scholar to fill out white portions of form; Faculty Mentor will comment in grey sections.

Postdoctoral Scholar Name:	Faculty Mentor Name:
Department:	Appointment Period:

## 1. Establish Development Plan → 2. Facilitate On-Going Performance → 3. Periodic Evaluation

1. At beginning of appointment, Postdoctoral Scholar and Faculty Mentor discuss key duties, responsibilities, and career goals.
2. Measurable performance goals and objectives are documented in a jointly prepared Development Plan.
3. Development Plan is submitted to department or program for record-keeping purposes.
1. Postdoctoral Scholar and mentor should meet at least monthly to discuss Development Plan and performance goals.
2. Goals/objectives may be revised based on changing project demands and scholar needs.
3. Mentor to provide feedback, coaching and guidance throughout academic year
4. Mentor initiates corrective actions, if needed.
1. Postdoctoral Scholar evaluates own performance.
2. Mentor comments on performance.
3. Performance discussions are conducted.
4. Evaluation may be forwarded to department or program chair or UCLA Graduate Division for review.
5. Original document is submitted to department administrator for the record.

This form is available on the Graduate Division web site: [www.gdnet.ucla.edu./postdocs.html](http://www.gdnet.ucla.edu./postdocs.html)

<b>Development Plan: Goals and Objectives</b> (List the quantitative and/or qualitative measures to evaluate the results)	<b>Periodic Evaluation: Review and Comments</b>	
	<b>Postdoctoral Scholar Comments</b>	<b>Mentor Comments</b>
<b>Research Project Goals</b>	<input type="checkbox"/> Exceeds Expectations <input type="checkbox"/> Meets Expectations <input type="checkbox"/> Needs Improvement	<input type="checkbox"/> Exceeds Expectations <input type="checkbox"/> Meets Expectations <input type="checkbox"/> Needs Improvement
<b>Anticipated Products</b>		<input type="checkbox"/> Exceeds Expectations <input type="checkbox"/> Meets Expectations <input type="checkbox"/> Needs Improvement

<p><b>Other Professional Training (e.g., teaching, meeting or workshop attendance, etc.)</b></p>	<p><input type="checkbox"/> Exceeds Expectations  <input type="checkbox"/> Meets Expectations  <input type="checkbox"/> Needs Improvement</p>	<p><input type="checkbox"/> Exceeds Expectations  <input type="checkbox"/> Meets Expectations  <input type="checkbox"/> Needs Improvement</p>
<p><b>Career Goals</b></p>	<p><input type="checkbox"/> Exceeds Expectations  <input type="checkbox"/> Meets Expectations  <input type="checkbox"/> Needs Improvement</p>	<p><input type="checkbox"/> Exceeds Expectations  <input type="checkbox"/> Meets Expectations  <input type="checkbox"/> Needs Improvement</p>
	<p><input type="checkbox"/> Exceeds Expectations  <input type="checkbox"/> Meets Expectations  <input type="checkbox"/> Needs Improvement</p>	<p><input type="checkbox"/> Exceeds Expectations  <input type="checkbox"/> Meets Expectations  <input type="checkbox"/> Needs Improvement</p>
	<p><input type="checkbox"/> Exceeds Expectations  <input type="checkbox"/> Meets Expectations  <input type="checkbox"/> Needs Improvement</p>	<p><input type="checkbox"/> Exceeds Expectations  <input type="checkbox"/> Meets Expectations  <input type="checkbox"/> Needs Improvement</p>

**Additional Postdoctoral Scholar Comments on Performance**

Comment on quality of work, productivity and publications, communications skills, cooperation with others, and independent management of research project

**Additional Faculty Mentor's Comments on Performance**

Comment on quality of work, productivity and publications, communications skills, cooperation with others, independent management of research project, and areas of improvement

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

Date \_\_\_\_\_

Faculty Mentor Signature \_\_\_\_\_

Date \_\_\_\_\_

# Postdoctoral Scholar Annual Evaluation

Postdoctoral Scholar Name: \_\_\_\_\_

Faculty Mentor Name: \_\_\_\_\_

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

Appointment Period Review: \_\_\_\_\_

## I. Face-to-face Review (Completed By Mentor)

1. Progress to date. Were expectations met?
2. What are the Postdoctoral Scholar's strengths?
3. In what areas does the Postdoctoral Scholar need to improve?
4. What is the Postdoctoral Scholar's potential for a research career in the discipline?

OVERALL RATING     Unsatisfactory     Satisfactory     Excellent

Comments:

## II. Postdoctoral Scholar's Response or Comments (Completed by Postdoctoral Scholar)

If appointment will be continued, complete this section:

### III. Reappointment (Completed by Mentor)

Training, research activities, and expectations for next year:

Reappointment Period    Begin date \_\_\_\_\_    End date \_\_\_\_\_

SALARY:     No change (based on dept. or funding agency policy or unsatisfactory review)     Salary/stipend increase or merit per policy     Salary Increase Exception

Comments or details of salary recommendation:

Postdoctoral Scholar Signature: \_\_\_\_\_    Date: \_\_\_\_\_

Mentor Signature: \_\_\_\_\_    Date: \_\_\_\_\_

This form is available on the Graduate Division web site: [www.gdnet.ucla.edu./postdocs.html](http://www.gdnet.ucla.edu./postdocs.html).



# Appendices

# Appendix A

## APM 390

### **APPOINTMENT AND PROMOTION Postdoctoral Scholars**

#### **Preamble**

At the University of California, the postdoctoral experience emphasizes scholarship and continued research training for individuals who have recently completed a doctoral degree. The Postdoctoral Scholar conducts research under the general oversight of a faculty mentor in preparation for a career position in academe, industry, government, or the nonprofit sector. 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 contribute to the academic community by enhancing the research and education programs of the University. They bring expertise and creativity that enrich the research environment for all members of the University community, including graduate and undergraduate students. The University strives to provide a stimulating, positive, and constructive experience for the Postdoctoral Scholar, by emphasizing the mutual commitment and responsibility of the institution, the faculty, and the Postdoctoral Scholar.

#### **390-0 Policy**

This policy defines and sets forth terms and conditions relating to the appointment of Postdoctoral Scholars. It applies to both (1) Postdoctoral Scholars who are employees of the University and (2) Postdoctoral Scholars who are appointed as fellows and are paid stipends by extramural agencies either directly or through the University.

#### **390-4 Definition**

Postdoctoral Scholar appointments are temporary positions with fixed end dates intended to provide a full-time program of advanced academic preparation and research training. Individuals pursuing clinical fellowships and residencies in the health sciences are excluded from appointment to these titles.

Postdoctoral Scholars train under the direction and supervision of faculty mentors in preparation for academic or

research careers. In addition to pursuing advanced preparation in research, Postdoctoral Scholars may be approved to engage in other activities to enhance teaching and other professional skills. If formal teaching duties are assigned, a Postdoctoral Scholar must hold both a Postdoctoral Scholar title and an appropriate teaching title. Under this circumstance, the full-time Postdoctoral Scholar appointment percentage will be reduced accordingly.

Ordinarily, Postdoctoral Scholars are not permitted to serve as principal investigators on extramurally-sponsored contracts or grants. Because the University recognizes that proposal preparation is an important aspect of most postdoctoral training, campuses may permit Postdoctoral Scholars to serve as principal investigators on awards that are restricted to Postdoctoral Scholars, on small awards for research expenses or travel, or in other circumstances approved by the Chancellor.

#### **390-6 Responsibility**

- a. Faculty mentors are responsible for guiding and monitoring the advanced training of Postdoctoral Scholars. In that role, faculty mentors should make clear the goals, objectives, and expectations of the training program and the responsibilities of Postdoctoral Scholars. They should regularly and frequently communicate with Postdoctoral Scholars, provide regular and timely assessments of the Postdoctoral Scholar's performance, and provide career advice and job placement assistance.
- b. The Chancellor has the authority to approve appointments and reappointments of Postdoctoral Scholars and to establish campus policies that supplement APM - 390. As provided in APM - 100-6-d, the Chancellor may redelegate this authority.

#### **390-8 Titles**

The title of a Postdoctoral Scholar appointment is determined by the requirements of the funding agencies.

##### **a. Postdoctoral Scholar – Employee**

An appointment is made in the title "Postdoctoral Scholar – Employee" 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.

b. **Postdoctoral Scholar – Fellow**

An appointment is made in the title “Postdoctoral Scholar – Fellow” when the Postdoctoral Scholar has been awarded a fellowship or traineeship for postdoctoral study by an extramural agency and the fellowship or traineeship is paid through a University account.

c. **Postdoctoral Scholar – Paid Direct**

An appointment is made in the title “Postdoctoral Scholar – Paid Direct” when the Postdoctoral Scholar has been 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. Such appointments shall have a “without-salary” status.

- d. Postdoctoral Scholars may be assigned to more than one Postdoctoral Scholar title concurrently depending on University and extramural funding agency requirements.

**390-10 Appointment Criteria**

Appointment as a Postdoctoral Scholar requires a doctoral degree (e.g., Ph.D., M.D.) or the foreign equivalent.

**390-17 Terms of Service**

- a. Postdoctoral Scholar appointments are temporary and have fixed end dates. Appointments are typically made for one year but may be made for up to three years. Campuses may require a minimum duration of appointment (e.g., one year).
- b. The total duration of an individual’s postdoctoral service may not exceed five years, including postdoctoral service at other institutions. By exception, the Chancellor may grant an extension not to exceed a sixth year.
- c. Pursuant to APM - 137-30-b, it is within the University’s sole discretion not to reappoint a Postdoctoral Scholar.

**390-18 Salary and Stipend**

a. **Scale**

An authorized salary and stipend scale establishing minimum and maximum pay rates for Postdoctoral Scholar titles is issued by the Office of the President. This scale is adjusted annually by the general range

adjustment, if any, approved by the President for non-exclusively represented, non-Senate academic appointees. For “Postdoctoral Scholars – Employee,” campuses may establish steps within the scale.

b. **Individual Range Adjustments**

When providing range adjustments for other non-exclusively represented, non-Senate academic employees, campuses may provide range adjustments for “Postdoctoral Scholars – Employee” for salaries that fall between the minimum and maximum scale established by the Office of the President (see APM - 390-18-a).

c. **Criteria**

Campuses are responsible for establishing the criteria for determining the salaries of individual “Postdoctoral Scholars – Employee” within the salary and stipend scale. Such criteria may include, but are not limited to, the individual’s qualifications, number of years of experience, performance as a Postdoctoral Scholar, funding availability in the discipline, and competitive salaries and stipends paid by other universities. When a stipend or salary is established for a Postdoctoral Scholar, equity among all appointees in the three Postdoctoral Scholar titles within the academic unit shall be taken into consideration.

d. **Provision of Minimum Pay Level**

When extramural agencies establish stipends at a rate less than the University established salary and stipend scale minimum, and the University elects to proceed with such an appointment, the campus is required to provide additional funding to bring the pay level of the Postdoctoral Scholar up to the established minimum. The mentor is required to arrange the additional funding prior to the begin date of an appointment.

e. **Exceeding the Scale Maximum**

The Chancellor may approve salaries above the top of the authorized scale in exceptional instances.

f. **Supplementation of Fellowship Stipends**

A Postdoctoral Scholar in the “Postdoctoral Scholar – Fellow” or “Postdoctoral Scholar – Paid Direct” title may have his or her stipend supplemented with additional funding beyond the scale minimum. Supplementation must be in conformance with the terms of the fellowship or traineeship and, if paid with University funds, be paid in the “Postdoctoral

Scholar – Employee” title. Except as provided in APM - 390-18-e for salaries paid above scale, the sum of stipend and salary may not exceed the maximum of the scale and must be consistent with campus criteria for determining the appropriate pay level of an individual Postdoctoral Scholar.

**g. Annual Salary Increases**

Salary increases may be given annually to “Postdoctoral Scholars – Employee” on the basis of merit in accordance with established campus procedures. The effective date of merit increases shall be established by the campus. Increases to “Postdoctoral Scholars – Fellow” and “Postdoctoral Scholars – Paid Direct” should be provided in accordance with the provisions of the extramural funding agency. Salary and stipend increases are to be recommended and approved in accordance with campus procedures.

**390-19 Appointment Percentage**

- a. Appointments to the Postdoctoral Scholar title are full time, based on the expectation that the Postdoctoral Scholar will be fully involved in scholarly pursuits. In special cases, upon written request of the appointee and concurrence of the mentor, an exception may be granted by the Chancellor when the appointee is unable to make a full-time commitment for reasons of health, family responsibilities, or employment external to the University. Such a request must take into account extramural funding agency requirements, if any. When a reduced-time appointment has been approved, the mentor and Postdoctoral Scholar shall sign a written agreement specifying the reduction in hours of work and concomitant responsibilities.
- b. When a Postdoctoral Scholar additionally holds a University teaching appointment or other University position, the percent time of the Postdoctoral Scholar appointment normally will be reduced so that the sum of the percent times of the two appointments equals 100 percent.

**390-21 Notice of Appointment**

- a. A Postdoctoral Scholar shall be provided a written notice of appointment, which shall include the mentor’s name, begin and end dates of the appointment, salary/stipend amount, source of funding, and work eligibility requirements for U.S. citizens and non-citizens. A copy of APM - 390 and a summary of benefits, or corresponding website

information, shall accompany the appointment notice. The Postdoctoral Scholar is required to accept the appointment in writing.

- b. Campuses may require additional information in appointment letters, such as whether the appointment is renewable and the conditions for renewal.

**390-25 Annual Reviews**

- a. In furtherance of fostering a Postdoctoral Scholar’s career, the mentor shall conduct an annual review with the Postdoctoral Scholar. A written evaluation will be provided to the Postdoctoral Scholar upon request.
- b. Campuses may require the following for such reviews:
  - (1) An assessment of the Postdoctoral Scholar’s progress to date, strengths, areas needing improvement, potential for a research career in the discipline, and a summary of expectations and activities for the following year;
  - (2) That a written summary of the review shall be provided to and signed by the Postdoctoral Scholar;
  - (3) That a review will be conducted whenever a salary increase is proposed;
  - (4) That any written evaluation will be maintained by the Graduate Division or other central office.

**390-27 Equal Opportunity, Nondiscrimination, and Diversity**

- a. The University of California is committed to a university environment that provides equal opportunity and promotes a diversity of backgrounds, perspectives, and experiences among faculty, staff, Postdoctoral Scholars, and the student body.
- b. Campuses should strive to have an inclusive, supportive environment that provides postdoctoral training opportunities and maximizes and values the potential of all Postdoctoral Scholars.
- c. Campuses are encouraged to post postdoctoral positions in order to promote equal opportunity for all candidates.

### **390-40 Grievances**

- a. A Postdoctoral Scholar may present a grievance according to the following procedures.
- b. Each Chancellor may establish and issue additional procedures to implement this section of the policy. Prior to planned issuance, such procedures should be submitted to the Provost and Senior Vice President – Academic Affairs for approval.
- c. Each Chancellor shall designate an administrator or office as the grievance liaison for Postdoctoral Scholars (hereinafter referred to as grievance liaison).
- d. A grievance is a complaint filed by a Postdoctoral Scholar that alleges one or both of the following:
  - (1) A specific act by the University was arbitrary or capricious and adversely affected the Postdoctoral Scholar's then-existing appointment or training program. For the purposes of this policy, an act is not arbitrary or capricious if the decision-maker exercised reasoned judgment.
  - (2) A violation of applicable University rules, regulations, or policies occurred which adversely affected the Postdoctoral Scholar's then existing appointment or training program.

A grievance alleging a violation of the Postdoctoral Scholar layoff policy (see APM - 390-45) or the Postdoctoral Scholar corrective action and dismissal policy (see APM - 390-50) shall be filed under APM - 390-40-d(2) only.

#### **e. Mediation**

The intent of this policy is to encourage voluntary resolution including mediation when it is desired by both parties. Each campus is encouraged to implement a mediation process to facilitate voluntary resolution of grievances.

#### **f. Step I – Informal Grievance Resolution**

- (1) Step I of the grievance process is the attempt at informal resolution. Postdoctoral Scholars are encouraged to discuss concerns and/or complaints with their mentors, other senior faculty members, department heads, or the ombudsperson, and to attempt informal resolution at an early stage. Attempts at informal resolution do not extend the time limits for filing a formal grievance unless a

written extension is granted by the grievance liaison.

- (2) If informal resolution is attempted but unsuccessful, a grievant may request that the grievance liaison assist in resolving the grievance. Where appropriate, the grievance liaison may work with the parties to reach an informal resolution.
- (3) When a grievance alleges sexual harassment, the grievant may elect to substitute the campus Sexual Harassment Complaint Resolution Procedure as Step I. If a grievant selects this mechanism and the complaint is not resolved to the grievant's satisfaction, he or she may file a Step II formal grievance in writing with the grievance liaison within fifteen (15) calendar days from the date the grievant is notified of the result of the pre-grievance complaint resolution process of the sexual harassment procedure or within forty-five (45) calendar days from the date the grievant filed the sexual harassment complaint, whichever is earlier.

#### **g. Step II – Formal Grievance Review**

- (1) If a grievance that is not resolved informally to the satisfaction of the grievant, the Postdoctoral Scholar may file a Step II formal grievance. A Step II grievance must be filed in writing with the grievance liaison within thirty (30) calendar days from the date on which the Postdoctoral Scholar knew, or could reasonably be expected to know, of the event or act which gave rise to the grievance, or within thirty (30) calendar days after the date of separation, whichever is earlier. Except by written mutual agreement of the parties, no additional issues shall be introduced after the Step II grievance has been filed. A written extension may be granted by the grievance liaison.
- (2) The formal written grievance must:
  - (a) identify the specific act and/or violation that is being grieved;
  - (b) state either (i) the specific acts to be reviewed, the name of the person(s) alleged to have carried out the act(s), the date(s) the alleged act(s) occurred, and a description of how the act(s) were arbitrary or capricious; or (ii) the University rules, regulations or policies that the grievant believes have been violated,

the name of the person(s) alleged to have done the violation(s), the date(s) the alleged violation(s) occurred, and a description of how the rules, regulations, or policies have been violated;

- (c) specify how the Postdoctoral Scholar's then-existing appointment or training program was adversely affected;
  - (d) specify the remedy requested.
- (3) Upon receipt of a formal written grievance, the grievance liaison shall complete an initial review of the grievance and determine whether the grievance is complete, timely, within the jurisdiction of APM - 390-40, and contains sufficient facts that support the allegations made in the grievance. Within ten (10) calendar days of receipt of the grievance, the grievance liaison shall notify the grievant in writing of the acceptance of the grievance. If the grievance is not accepted, the reasons shall be specified as follows:
- (a) If the grievance liaison determines that the grievance is incomplete or factually insufficient, the grievant will have ten (10) calendar days from the date of the written notice to provide information to make the grievance complete, including additional facts. If the grievant fails to make the grievance complete or provide sufficient facts, the grievance will be dismissed.
  - (b) If the grievance liaison determines that the grievance is untimely or outside the jurisdiction of APM - 390-40, the grievance will be dismissed.
  - (c) If the grievance raises multiple issues, the grievance liaison will make a determination described above with regard to each issue. The grievance liaison may accept some issues and dismiss others pursuant to this review process.
  - (d) If all or part of a grievance is dismissed at this stage, the grievance liaison will provide the grievant with a written explanation of the basis for the dismissal.
- (4) When a formal written grievance is accepted, the grievance liaison shall forward the grievance and any supportive materials to the Step II reviewer for review and written decision, and notify the Step II reviewer and the grievant of the date the

Step II response is due. Generally, the Step II reviewer will be the department or unit head. However, if the department or unit head took the action which is being grieved, the grievance liaison may exercise discretion and designate another administrator as the Step II reviewer, and so notify the department or unit head and the grievant.

- (5) If a Step II grievance raises allegations of discrimination, harassment, or retaliation in violation of APM - 035, the grievance liaison shall forward a copy of the grievance to the appropriate campus compliance office for review. The results of any related grievances or investigations shall be provided to the grievance liaison. At the discretion of the grievance liaison, information regarding related grievances or investigations may be forwarded to the Step II reviewer for consideration in making a Step II decision.
- (6) The Step II reviewer shall review the grievance and, if appropriate, shall investigate and/or meet with the parties. Within thirty (30) calendar days from the date of receipt of the grievance, the Step II reviewer shall send a written response to the grievant and the grievance liaison. The response will state whether the grievance is denied or upheld in whole or in part. If the grievance is denied in whole or in part, the response will state that the Postdoctoral Scholar has the right to appeal the decision to Step III of the grievance procedure; if the grievance is upheld, the response will describe the remedy, if any, being awarded.

#### **h. Step III – Formal Grievance Appeal**

- (1) A formal grievance not resolved to the satisfaction of the Postdoctoral Scholar at Step II may be appealed in writing to Step III with the grievance liaison within fifteen (15) calendar days from the date on which the Step II response is issued. The Step III formal grievance appeal must set forth the unresolved issue(s) and the remedy requested. Except by written mutual agreement of the parties, no issues shall be introduced in the appeal that were not included in the original grievance.
- (2) All formal grievance appeals will be subject to Step III administrative consideration. Within seven (7) calendar days from receipt of a formal grievance appeal, the grievance liaison shall forward the appeal, the Step II formal grievance,

and the Step II response to the Chancellor for review and written decision.

- (3) In reviewing the grievance appeal, the Chancellor may consult with the Graduate Council, other appropriate Academic Senate or administrative committees, or appropriate individuals.
- (4) Based on the record, the Chancellor shall determine whether the Step II formal grievance was properly reviewed and whether the decision made at Step II shall be upheld, rejected, or modified.
- (5) The Chancellor shall provide a final written decision to the Postdoctoral Scholar within thirty (30) calendar days following receipt of the formal grievance appeal. The written decision shall include a statement of the reasons if the decision of the Step II review is rejected or modified in whole or in part, including any remedy in whole or in part, and a statement that the decision is final.
  - i. A Postdoctoral Scholar may represent himself or herself or may be represented by another person at any stage of the grievance process. The University shall be represented as the Chancellor deems appropriate.
  - j. Prior to expiration of a time limit, extensions may be granted by the grievance liaison upon written request by either party. If the Postdoctoral Scholar fails to meet a deadline, the grievance will be considered resolved on the basis of the last University response. If a University official fails to meet a deadline, the Postdoctoral Scholar may move the grievance to the next step in the process. Time limits which expire on days which are not business days at the location where the grievance is filed shall be automatically extended to the next University business day.
  - k. The Postdoctoral Scholar and the Postdoctoral Scholar's representative, if employed by the University, shall be granted time off with pay to attend meetings convened by the University to consider grievances under APM - 390-40. Time spent by the Postdoctoral Scholar and the Postdoctoral Scholar's representative in investigation and preparation of a grievance shall not be on pay status.
  - l. If the grievance is sustained in whole or in part, the remedy shall not exceed restoring to the Postdoctoral Scholar the pay, benefits, or rights lost

either as a result of the violation of University rules, regulations, or policies, or as a result of an arbitrary or capricious action, less any income earned from any other employment. Payment of attorney's fees shall not be part of the remedy. Unless specifically authorized by the grievance liaison, compensation shall not be paid for any period that is the result of extension(s) of time requested by or on behalf of the Postdoctoral Scholar.

- m. The following may be consolidated in one review: grievances of two or more Postdoctoral Scholars, where the grievances are related and consolidation is appropriate under the circumstances; two or more grievances filed by the same grievant which are based on the same incident, issues, or act; or two or more grievances filed by the same grievant which are based on the same pattern of conduct. The grievance liaison shall decide whether a consolidation is appropriate.
- n. APM - 140 (Non-Senate Academic Appointees/ Grievances) does not apply to individuals appointed in a Postdoctoral Scholar title.

### **390-45 Layoff**

- a. Layoff is defined as the termination by the University of a Postdoctoral Scholar appointment prior to the end date as a result of appropriate funding becoming unavailable.
- b. In the event of layoff, the department, unit head, or other University official shall provide notification in writing to the Postdoctoral Scholar not less than thirty (30) calendar days in advance of the effective date of the early termination. Appropriate pay in lieu of notice may be given.
- c. A Postdoctoral Scholar who is subject to layoff may request that the Chancellor or other University officer supply a written summary concerning the unavailability of appropriate funding that is the reason for the layoff.
- d. Layoff decisions may be appealed in accordance with APM - 390-40, the Postdoctoral Scholar grievance policy.
- e. APM - 145 (Non-Senate Academic Appointees/ Layoff and Involuntary Reduction in Time) does not apply to individuals appointed in a Postdoctoral Scholar title.

### 390-50 Corrective Action and Dismissal

- a. The University may impose corrective action or dismissal when, in its reasoned judgment, the Postdoctoral Scholar's performance or conduct merits the action.
- b. Each Chancellor may establish and issue additional procedures for instituting corrective action and dismissal of Postdoctoral Scholars in accord with the standards and procedures set forth in APM - 390-50.
- c. Corrective action is the institution of one of the following:
  - (1) Written warning, which is a communication that informs the Postdoctoral Scholar of the nature of the inadequate performance or misconduct; requirements for continuation in the training program; and the probable consequence of continued inadequate performance or misconduct.
  - (2) Suspension, which is debarment from the training program without pay for a stated period of time. Unless otherwise noted, the terms of a suspension will include loss of normal Postdoctoral Scholar privileges, such as access to University property and parking and library privileges.
  - (3) Reduction in salary or stipend for a stated period of time. The amount and duration of the reduced salary or stipend shall be specified.
  - (4) Other action consistent with requirements of extramural fellowship agencies.
- d. Dismissal is the termination of a Postdoctoral Scholar's appointment initiated by the University, prior to the appointment end date, when, in the reasoned judgment of the University, the Postdoctoral Scholar's conduct or performance does not justify continuation.
- e. Prior to the institution of formal corrective action or dismissal, informal efforts to resolve the problem should be made, where appropriate.
- f. A Postdoctoral Scholar may be placed on immediate investigatory leave with pay, without prior written notice, for the purpose of reviewing or investigating conduct which in the judgment of the Chancellor requires removing the Postdoctoral Scholar from University premises. While on such leave, the Postdoctoral Scholar's return to University premises without written permission may create independent

grounds for dismissal. Such investigatory leave shall be confirmed in writing after it is instituted.

- g. Before initiating the actions of suspension without pay, reduction in salary or stipend, dismissal, or other actions consistent with the requirements of extramural fellowship agencies, the University shall provide a written Notice of Intent to the Postdoctoral Scholar. The Notice shall state:
  - (1) the intended action and the proposed effective date;
  - (2) the reason(s) for the action, including a description of the inadequate performance or misconduct and any warnings that have been given;
  - (3) the Postdoctoral Scholar's right to respond either orally or in writing within fourteen (14) calendar days of the date of issuance of the written Notice of Intent;
  - (4) the name of the person to whom the appointee should respond. No Notice of Intent is required for a written warning.
- h. A Postdoctoral Scholar who receives a written Notice of Intent shall be entitled to respond, either orally or in writing, within fourteen (14) calendar days of the date of issuance of the Notice of Intent. The response, if any, shall be reviewed by the administration.
- i. If the University determines to institute the corrective action or dismissal following the review of a timely response, if any, from the Postdoctoral Scholar, the University shall issue, within thirty (30) calendar days of the issuance of the written Notice of Intent, a written Notice of Action to the Postdoctoral Scholar of the corrective action or dismissal and its effective date. The Notice of Action also shall notify the Postdoctoral Scholar of the right to grieve the action under APM - 390-40, the Postdoctoral Scholar grievance policy. The Notice of Action may not include an action more severe than that described in the Notice of Intent. A copy of the Notice of Action shall also be placed in the Postdoctoral Scholar's personnel file.
- j. A Postdoctoral Scholar may represent himself or herself or may be represented by another person at any stage of the corrective action or dismissal process.

- k. Upon written request and prior to expiration of any time limits stated in APM - 390-50, the Chancellor may grant extensions, as appropriate.
- l. APM - 150 (Non-Senate Academic Appointees/ Corrective Action and Dismissal) does not apply to individuals appointed in a Postdoctoral Scholar title.

### **390-60 Sick Leave**

(Effective January 1, 2004)

- a. “Postdoctoral Scholars – Employee” are eligible for paid sick leave of up to twelve days per twelve-month appointment period. Unless the extramural funding agency has different sick-leave requirements, “Postdoctoral Scholars – Fellow” and “Postdoctoral Scholars – Paid Direct” are also eligible for paid sick leave of up to twelve days per twelve-month appointment period.

Postdoctoral Scholars with appointments of less than twelve months 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.

- b. For “Postdoctoral Scholars – Employee,” unused sick leave shall be carried forward to subsequent Postdoctoral Scholar appointments. Unless the extramural funding agency has different requirements, the unused sick leave of “Postdoctoral Scholars – Fellow” and “Postdoctoral Scholars – Paid Direct” shall be carried forward to subsequent Postdoctoral Scholar appointments.
- c. Sick leave shall be used in keeping with normally approved purposes, including personal illness; medical appointments; childbearing (see APM - 715 and 760); disability; and medical appointments of, illness of, or bereavement for a Postdoctoral Scholar’s child, parent, spouse, domestic partner, sibling, grandparent or grandchild.
- d. Sick leave shall be recorded in one-day increments when it is used.
- e. APM - 710 (Leaves of Absence/Sick Leave) does not apply to individuals appointed in a Postdoctoral Scholar title.

### **390-61 Time Off**

(Effective January 1, 2004)

Postdoctoral Scholars do not accrue vacation. “Postdoctoral Scholars – Employee” are expected to take time off each academic year in the intersession and recess periods (which constitutes about four weeks, excluding University holidays) between the beginning of Fall Term and the end of Spring Term. If, however, the Postdoctoral Scholar’s training and research program involves work during these periods, it is expected that the mentor will approve equivalent time off at another mutually agreeable time. Unless the extramural funding agency contains provisions to the contrary, “Postdoctoral Scholars – Fellow” and “Postdoctoral Scholars – Paid Direct” are eligible to take time off under these same conditions. Postdoctoral Scholars will remain on pay status during intersession and recess periods or their alternatives.

### **390-62 Childbearing, Parental, and Family and Medical Leave**

- a. Postdoctoral Scholars are eligible for childbearing leave, parental leave, and active service-modified duties as provided in APM - 760 and for family and medical leave as provided in APM - 715.
- b. Campuses may provide additional benefits that supplement or enhance the benefits specified in APM - 760 or APM - 715.
- c. Childbearing, parental, and family and medical leave policies for “Postdoctoral Scholars – Fellow” and “Postdoctoral Scholars – Paid Direct” are subject to the requirements of the Postdoctoral Scholar’s extramural funding agency.

### **390-63 Holidays**

Official holidays for Postdoctoral Scholars are those administrative holidays published in the University Calendar.

### **390-64 Military Leave**

Military leave for Postdoctoral Scholars is governed by APM - 751 (Leaves of Absence/Military Leave).

### **390-65 Jury Leave**

A Postdoctoral Scholar shall be eligible for a jury duty leave. Verification of service on jury duty shall be provided by the Postdoctoral Scholar to the University upon

request. Pay for jury duty will not continue beyond the end date of the Postdoctoral Scholar's appointment.

### **390-75 University of California Retirement Plan Membership**

"Postdoctoral Scholars – Employee" contribute to the University of California Defined Contribution Plan as Safe Harbor participants and are not eligible for the University of California Retirement Plan. "Postdoctoral Scholars – Fellow" and "Postdoctoral Scholars – Paid Direct" are not eligible for either plan.

### **390-76 Benefit Plans**

All Postdoctoral Scholars are eligible for designated health-care and other benefit plans.

### **390-80 Procedures**

Campuses shall establish local procedures to implement APM - 390.

## **APPOINTMENT AND PROMOTION Postdoctoral Scholars Transition Guidelines**

APM - 390 APPENDIX A

Expires 1/1/10

1. **Effective Dates:** The new Postdoctoral Scholar policy will be implemented in two stages:

The new APM - 390, with the exception of the time off and sick leave provisions (and others noted in Sections 3 and 4 below), is effective July 1, 2003, and will apply to all current and new Postdoctoral Scholars.

The new APM - 390 time off and sick leave provisions and the new Postdoctoral Scholar benefit plans will be effective January 1, 2005, except for Postdoctoral Scholars at the UCSF campus. UCSF plans to implement the time off, sick leave, and benefit plans on July 1, 2005.

2. **Salary/Stipend:**

- a. For new appointments and reappointments made on or after July 1, 2003, the minimum of the

Postdoctoral Scholar salary/stipend range is as follows:

2003-04: \$29,000

2004-05: \$30,000

2005-06: Step I of the non-student PGR scale, currently \$31,044;

Campuses may establish higher minimums.

- b. Commitments made prior to July 1, 2003, for appointments at less than these amounts may be honored; however, it is recommended that, where appropriate funding is available, the salary/stipend of current Postdoctoral Scholars be raised to the above amounts.
  - c. The maximum of the Postdoctoral Scholars salary/stipend range is \$75,324, which will be range-adjusted in subsequent years to the same extent as for other non-exclusively represented, non-Senate academic appointees.
  - d. Campuses have the option to establish steps within the range for "Postdoctoral Scholar – Employee" appointments.
3. **New Title Codes:** The following three new postdoctoral title codes have been established:

3252 Postdoctoral Scholar – Employee effective January 1, 2005 (planned for July 1, 2005, at UCSF)

3253 Postdoctoral Scholar – Fellow effective July 1, 2003

3254 Postdoctoral Scholar – Paid Direct effective July 1, 2003

Postdoctoral Scholar Employee Appointments – New Postdoctoral Scholar employee appointments beginning on or after January 1, 2005, are to be made in title code 3252 ("Postdoctoral Scholar – Employee"). In addition, Postdoctoral Scholar employees in Title Code 3370 with appointment begin dates prior to January 1, 2005, who in Fall 2004 choose to enroll in the new Postdoctoral Scholar benefit plans and to be subject to the new APM - 390 sick leave and time off provisions, are to be moved to title code 3252 ("Postdoctoral Scholar – Employee") with a begin date of January 1, 2005 (see Section 8 below).

No appointments to Title Code 3252 may be recorded in the Payroll/Personnel System (PPS) if the

begin date is prior to January 1, 2005. Postdoctoral Scholar employees with appointments between July 1, 2003 and December 31, 2004, should continue to be appointed in either title code 3240 or 3370 (see Section 6 below).

Postdoctoral Scholar Fellow and Paid Direct Appointments – Campuses may implement the “Postdoctoral Scholar – Fellow” (3253) and the “Postdoctoral Scholar – Paid Direct” (3254) titles and title codes at any time between July 1, 2003, and January 1, 2005. “Postdoctoral Scholar – Paid Direct” (3254) appointments are to be shown in non-salaried status. At campuses not paying postdoctoral fellowship stipends through PPS, “Postdoctoral Scholar – Fellow” appointments should also be shown in non-salaried status. For purposes of on-line PPS actions, all title codes are available as of June 1, 2003.

4. Grandfathering of Current Postdoctoral Scholars: All Postdoctoral Scholars with appointments beginning before July 1, 2003, are subject to the new policy with the exception of the sick leave provision (APM - 390-60), the time off provision (APM -390-61), the minimum salary/stipend provision as described in Section 2 above, and the requirement of 100 percent time appointments (APM - 390-19). It is recommended that, where appropriate funding is available, the percent time of postdoctoral employees with current appointments at less than 100 percent time be raised to 100 percent time and the salaries/stipends of current Postdoctoral Scholars with salaries/stipends less than the minimum (\$29,000 in 2003-04) be raised to the minimum.

5. Phase-Out of Postgraduate Research and Visiting Postdoctoral Scholar Titles:

Starting January 1, 2004, the University will begin phasing out the use of title codes 3240 and 3370 (see section 9). Only those Postdoctoral Scholars who were appointed in these title codes prior to January 1, 2005, may continue, and be reappointed, in these title codes. New Postdoctoral Scholar employees must be appointed in title code 3252 (“Postdoctoral Scholar – Employee”) starting January 1, 2005. Title codes 3240 (Postgraduate Research \_\_\_\_\_ Non-Student - Fiscal Year) and 3370 (Visiting \_\_\_\_\_ - Postdoc), as well as APM - 350 (Postgraduate Research), will be retired January 1, 2010.

6. Appointments During the Period July 1, 2003, Through December 31, 2004:

The following will apply to Postdoctoral Scholar employees:

New appointments and reappointments will continue to be made in title code 3240

(Postgraduate Research \_\_\_\_\_ Non-Student - Fiscal Year) or title code 3370

(Visiting \_\_\_\_\_ - Postdoc).

Vacation leave will accrue at 16 hours per month as set forth in APM - 730.

Sick leave will accrue at 8 hours per month as set forth in APM - 710.

Benefit eligibility in the UC employee plans will continue.

All other provisions of APM - 390 will apply except as stated in Section 4 above.

The following will apply to Postdoctoral Scholar non-employees (i.e., “Postdoctoral Scholars – Fellow” and “Postdoctoral Scholars – Paid Direct”):

Appointments will be entered into the Payroll/Personnel System in title codes 3253 or 3254 beginning July 1, 2003.

Eligibility for vacation and sick leave will continue in accordance with the provisions of the extramural funding agency.

Benefits eligibility will continue in campus postdoctoral health-care plans if offered by the campus.

All other provisions of APM - 390 will apply.

7. New Postdoctoral Scholar Benefit Plans: Transition guidelines for the new Postdoctoral Scholar benefit plans effective January 1, 2005, will be issued in Fall 2004.

8. Postdoctoral Employee Choice: At campuses participating in the new Postdoctoral Scholar benefit plans as of January 1, 2005, Postdoctoral Scholar employees in title code 3370 will be asked in Fall 2004 to select one of the following two options:

To move to the new title code 3252 as of January 1, 2005, which means being subject to the sick leave and time off provisions of APM - 390 and

eligible to enroll in the new Universitywide Postdoctoral Scholar benefit plans; or

To continue in title code 3370, thereby retaining enrollment in their current employee benefit plans, current vacation accrual rates, and current sick leave accrual rates until the end of their postdoctoral appointment at the University.

All Postdoctoral Scholars now assigned to title code 3240 will remain in that title code until the end of their appointment. A change from title code 3240 to title code 3252 must be preceded by an appropriate break in service from the University. Postdoctoral Scholar employees who continue in title codes 3240 or 3370 will be subject to all provisions of APM - 390 except for Sections 390-60 (Sick Leave), 390-61 (Time Off), and Section 390-76 (Benefit Plans). Regarding the exceptions, other appropriate provisions of the Academic Personnel Manual will apply.

“Postdoctoral Scholars – Fellow” and “Postdoctoral Scholars – Paid Direct” will not have a choice to move to another title code; as of January 1, 2005 (planned for July 1, 2005, at UCSF), they will be eligible only for the new Postdoctoral Scholar benefit plans.

9. **Postgraduate Research Appointees Who Are Not Postdoctoral Scholars:** No new appointments or reappointments of individuals who are not Postdoctoral Scholars may be made in titles codes 3240 (Postgraduate Research \_\_\_\_\_ Non-Student – Fiscal Year) or 3370 (Visiting \_\_\_\_\_ - Postdoc) after January 1, 2004. Current appointees in either of these title codes who are not Postdoctoral Scholars need to be moved to a different title code no later than July 1, 2006. Individuals who are not Postdoctoral Scholars are to be appointed in titles that are appropriate to their job responsibilities – including, but not limited to, academic titles such as Junior Specialist, Assistant Specialist, or Assistant Project Scientist; or staff titles such as Staff Research Associate.

# Appendix B

## Template: Postdoctoral Scholar Appointment Letter

### Notice of Appointment DEPARTMENTAL LETTERHEAD

Date

Postdoc Name, Ph.D./M.D.  
Street Address, Apt. #  
City, State Zip Code

Dear Dr. Name:

Upon the recommendation of Professor (name of faculty sponsor) in the Department of (department name), I am pleased to offer you an appointment as a UCLA Postdoctoral Scholar beginning (date) and ending (date). This appointment is assigned at 100% time with a monthly (indicate stipend or salary) of (monetary amount), less any deductions required by federal, state, or University regulations. Your primary appointment is being funded by (name of funding source, e.g. NIH Training, UC Institutional, DOE, etc.).

Information on policies and benefits that pertain to your appointment as a postdoctoral scholar is available at: <http://www.gdnet.ucla.edu/postdoc>.

All offers are contingent upon evidence of doctoral degree, documentation of employment eligibility in compliance with the Immigration Reform and Control Act of 1986, funding availability, and the approval of the Dean of the Graduate Division.

You may indicate your acceptance by either signing a copy of this offer letter or by indicating your acceptance under separate correspondence, and returning it to the department. Following receipt of your formal acceptance, the department will contact you regarding the completion of appropriate forms to implement your appointment. Upon official conferral of your appointment by the Graduate Division Dean, you will receive a letter with which you can obtain your UCLA identification card.

Unless reappointed as a Postdoctoral Scholar, please be advised that your appointment and all benefits associated with your appointment will end on (end date).

Sincerely,

Department Chair Name, Chair

cc: Professor Faculty Sponsor Name

Claudia Mitchell-Kernan, Vice Chancellor Graduate Studies and Dean, Graduate Division

I accept this appointment: \_\_\_\_\_ Date: \_\_\_\_\_

# Appendix C

## Employment Paperwork for Appointing Postdoctoral Scholars

In addition to collecting the employment paperwork for the 3240 Postgraduate Researcher and 3252 Postdoctoral Scholar –Employee, departments will also need to collect the following forms from their 3253 – PDS Fellow & 3254 PDS Paid-Direct appointees before entering the appointments in the EDB.

These forms are available online at: <http://www.payroll.ucla.edu/forms/formsfrm.htm>

<b>Form Name</b>	<b>Form Number</b>	<b>Purpose</b>	<b>Citizens</b>	<b>NRA <sup>1</sup></b>	<b>Justification</b>
Employment Eligibility Verification	I-9	The INS requires this information in order to verify an individual's identity and employment eligibility	Yes	Yes	Frequently, a fellow or paid-direct postdoctoral scholar will become an employee at a later date.
Patent Policy and Patent	UPAY 585	The University requires acknowledgment of its patent rights as set forth in the policy.	Yes	Yes	All individuals who use University facilities, whether employed or not, must sign the Acknowledgment Form.
State Oath of Allegiance	UPAY 585	The State requires this information of all persons (other than nonresident aliens) employed by the University, whether with or without pay.	Yes	No	If the postdoctoral scholar is a US citizen and the oath date is not entered, the PPS will reject the record.
Withholding Allowance Certificate	UC W4/DE4	The UC requires this information so that the correct amounts of federal and state tax can be withheld	Yes	No	This form is used to collect the SSN for U.S. citizens and resident aliens.

Withholding Allowance Certificate – NON-RESIDENTS	UC W4 NR/DE 4	The UC requires this information so that the correct amounts of federal and state tax can be withheld	No	Yes	This form is used to collect the SSN for non-resident aliens.
Out-of State Withholding Form	UPAY 830	The UC requires this information for employees subject to income tax withholding for a state other than California	Yes	Yes	This form should be completed for a postdoc on an out-of-state assignment in the event he or she becomes an employee.
UC W8-Ben (Statement of Citizenship)	N/A	The UC requires this information from foreign individuals in order to determine the correct rate of federal tax withholding	No	Yes	This form is used to collect information for foreign individuals, including the Individual Taxpayer Identification Number (ITIN)
Demographic Data Transmittal	U5605	The UC, as a federal contractor, requires this information in order to comply with federal requirements	Yes	Yes	This form is required for Corporate Personnel System (CPS) reporting requirements.

<sup>1</sup> Nonresident alien



## Privacy Notification

### UCLA Postdoctoral Scholar Appointment Form

The Federal Privacy Act of 1974 requires that you be notified that disclosure of your Social Security number is mandatory pursuant to the authority of the Regents of the University of California under Article IX, Sec. 9 of the California Constitution. This record keeping system was established prior to January 1, 1975. The Social Security number is used to verify your identity.

The University of California in compliance with Title IV of the Civil Rights Act of 1964, Title IX of the Education Amendments of 1972, Section 504 of the Rehabilitation Act of 1973, and the Age of Discrimination Action of 1975, does not discriminate on the basis of race, color, national origin, sex, disability, or age in any of its policies, procedures or practices: nor does the University discriminate on the basis of sexual orientation. This nondiscrimination policy covers admission and access to, and treatment and employment in, University programs and activities, including but not limited to academic admissions, financial aid, educational services, and student employment.

Inquiries regarding the University's equal opportunity policies may be directed to the UCLA Campus Counsel, 3149 Murphy Hall, 405 Hilgard Avenue, Los Angeles, California 90024-1405. Speech and hearing impaired persons may call TDD 310.206.6083. Inquiries regarding Americans with Disabilities Act or 504 Compliance may be directed to Douglas Martin, Special Assistant to the Chancellor, 405 Hilgard Avenue, Los Angeles, California 90024-1405, 310.825.2242 Voice/CRS or 310.206.3349 TDD.

The principal purpose for requesting the information on this form is to comply with campuswide regulations concerning the enrollment of Postdoctoral Scholars with the Graduate Division. University policy authorizes maintenance of this information. Furnishing all information required in this form is mandatory – failure to provide such information will delay or may even prevent completion of the action for which the form is being completed. Information furnished on this form may be used by various University departments for statistical analysis, payroll and accounting purposes and will be transmitted to the state and federal governments, if required by law. You have the right to review personal information maintained about you in accordance with University policy and may contact either the office of record maintaining such information or the Office of Records Management and Information Practices, 2330 Murphy Hall, for more information concerning your rights. The office responsible for maintaining the information contained on this form is the Vice Chancellor – Graduate Programs, Graduate Division, 1237 Murphy Hall, University of California, Los Angeles, California, 90024-1419.

## Instructions for the enrollment of a UCLA Postdoctoral Scholar:

**Appointment Action:** Indicate if this action represents a new enrollment, termination or extension of appointment, or other type of revision (i.e., change in enrollment dates).

**Program of Research:** Indicate the scope and objective of the research and/or training project.

**UCLA Appointing Department or Unit:** Provide four-digit department code and department name and list the name and UID of the faculty sponsor of the proposed appointment.

**Proposed Period of Appointment:** Indicate beginning and ending dates of the proposed appointment.

**Postdoctoral Support Package-Support Type:** Indicate whether the appointment is funded by a fellowship, traineeship, research grant, employment or other type of support.

**Funding Source Start and End Dates:** Indicate period of funding.

**Percent Effort Attributable:** If appointment is being funded by more than one source, indicate the percent effort attributable to each source. If additional support is supplemental and not requiring additional effort, please write "supplemental."

**Granting Agency/Fund Source:** Identify source(s) of support.

**Health Insurance Enrollment:** As a condition of enrollment as a postdoctoral scholar, UCLA requires that all scholars have evidence of medical insurance coverage. If not eligible for UC-employee benefits or not enrolled in the Graduate Division's

**Signature Health Plans:** Proof of existing coverage through an outside provider must be attached.

**Department Contact Information:** Identify the departmental administrator who should be contacted if there are any questions pertaining to the proposed appointment and/or when the appointment has been approved or denied. Please include phone extension and campus mailing address.

**Departmental Signatures:** Identify scholar's faculty sponsor and department chair/unit head and have each authorize the appointment request by signing their names.

**Attachments:** In addition to the Appointment Form, the following documents must be attached in order to complete the application:

1. Postdoctoral Scholar Personal Data Form;
2. A copy of the nominated scholar's curriculum vitae;
3. A personal statement of objective from the nominated scholar. This statement should describe in 250 words or less the research and training objectives of the postdoctoral scholar's proposed appointment;
4. Evidence of completion of the doctoral degree (Ph.D., M.D., or its equivalent); and
5. Proof of existing medical insurance coverage (if not enrolled in UC-benefits or the Graduate Division Signature Health Plans).

# Appendix E



## Postdoctoral Scholar Personal Data Form

Form to be completed in its entirety by the nominated postdoctoral scholar

Name: \_\_\_\_\_ Social Security Number\*: \_\_\_\_\_

Date of Birth: \_\_\_\_\_ Sex:  Male  Female  
(Month/Day/Year)

**Mailing Addresses:** Please check box to indicate address, to which correspondence should be sent.

Local: \_\_\_\_\_  
 \_\_\_\_\_  
 City State Zip  
 \_\_\_\_\_  
 Phone Email

Permanent: \_\_\_\_\_  
 \_\_\_\_\_  
 City State/Country Zip/Postal Code

**Residency Status:**

**Federal:**  U.S. Citizen  Non-U.S. Citizen on  F or  J visa (please circle) **If Non-US Citizen, specify country of citizenship:**  
 U.S. Permanent Resident  Non-U.S. Citizen on other visa, please specify: \_\_\_\_\_  
**CA State:**  Resident  Nonresident

**Ethnicity:**

American Indian/Alaskan Native  East Indian/Pakistani  Latino/Other Spanish-American  White/Caucasian  
 Black/African-American  Filipino/Filipino-American  Other Asian  Decline to State  
 Chicano/Mexican-American  Japanese/Japanese-American  Pacific Islander  Other (please specify):  
 Chinese/Chinese-American  Korean/Korean-American  Vietnamese

**Doctoral Degrees Earned** (e.g., Ph.D., M.D., additional doctoral degrees or their foreign equivalents):

Degree	Institution	Location	Date Awarded
_____	_____	_____	_____
_____	_____	_____	_____

**Previous Postdoctoral Appointments:**

Dates of Appointment	Institution	Research Area	Name of Faculty Mentor
_____	_____	_____	_____
_____	_____	_____	_____

**Recruitment:** How were you recruited to the proposed UCLA postdoctoral appointment?

Advertisement (Journal \_\_\_\_\_)  Recommendation to mentor by dissertation advisor  Other \_\_\_\_\_

**Career Goals:** What is your primary career goal upon completion of your UCLA postdoctoral appointment?

Faculty Position  Other University Research Position  Clinical Practice  Industry  Other \_\_\_\_\_

**Required Attachments:** Please submit the following documents with this application.

- Curriculum Vitae
- Statement of Objective
- Evidence of Completion of Doctoral Degree

**Applicant's Certification:** I hereby apply for appointment as a postdoctoral scholar at UCLA. I certify that the information provided on this form is true, accurate, and complete. I understand that any false or incomplete information may be grounds for denial of appointment, or if discovered after appointment, for retroactive termination of postdoctoral scholar status.

\_\_\_\_\_  
 Signature of Applicant Date

\* Please see attached disclosure for privacy notification

## Privacy Notification

### UCLA Postdoctoral Scholar Appointment Form

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The University of California in compliance with Title IV of the Civil Rights Act of 1964, Title IX of the Education Amendments of 1972, Section 504 of the Rehabilitation Act of 1973, and the Age of Discrimination Action of 1975, does not discriminate on the basis of race, color, national origin, sex, disability, or age in any of its policies, procedures or practices: nor does the University discriminate on the basis of sexual orientation. This nondiscrimination policy covers admission and access to, and treatment and employment in, University programs and activities, including but not limited to academic admissions, financial aid, educational services, and student employment.

Inquiries regarding the University's equal opportunity policies may be directed to the UCLA Campus Counsel, 3149 Murphy Hall, 405 Hilgard Avenue, Los Angeles, California 90024-1405. Speech and hearing impaired persons may call TDD 310.206.6083. Inquiries regarding Americans with Disabilities Act or 504 Compliance may be directed to Douglas Martin, Special Assistant to the Chancellor, 405 Hilgard Avenue, Los Angeles, California 90024-1405, 310.825.2242 Voice/CRS or 310.206.3349 TDD.

The principal purpose for requesting the information on this form is to comply with campuswide regulations concerning the enrollment of Postdoctoral Scholars with the Graduate Division. University policy authorizes maintenance of this information. Furnishing all information required in this form is mandatory – failure to provide such information will delay or may even prevent completion of the action for which the form is being completed. Information furnished on this form may be used by various University departments for statistical analysis, payroll and accounting purposes and will be transmitted to the state and federal governments, if required by law. You have the right to review personal information maintained about you in accordance with University policy and may contact either the office of record maintaining such information or the Office of Records Management and Information Practices, 2330 Murphy Hall, for more information concerning your rights. The office responsible for maintaining the information contained on this form is the Vice Chancellor – Graduate Programs, Graduate Division, 1237 Murphy Hall, University of California, Los Angeles, California, 90024-1419.

## Conditions of Enrollment as a UCLA Postdoctoral Scholar

**Postdoctoral Scholar Definition and Eligibility:** Qualified individuals may be appointed by the Graduate Division to postdoctoral scholar status upon the recommendation of a department chair or director of an academic unit and faculty sponsor. Opportunities and facilities of the University are made available to scholars who wish to continue advanced study and research under faculty guidance. Postdoctoral scholar standing, which does not lead to any degree, is normally for a period of one to three years and, in accord with University of California policy, is limited to a period not to exceed five years.

A postdoctoral scholar is one who: has been awarded a doctoral degree or the foreign equivalent where at least three years of undergraduate study are prerequisite to admission to the graduate program; has been awarded a fellowship, traineeship, or equivalent support (including academic appointments such as postgraduate researcher [PGR]) for studies at the postdoctoral level; is pursuing a program of research and training under the direction of a faculty member with the approval of the department or research unit, and by the Dean of the Graduate Division.

**Financial Support:** Postdoctoral Scholars are eligible to receive University administered funds in the form of a fellowship or traineeship award, or a salaried appointment. The type of support is determined by the terms stipulated by the funding agency and is categorized as either a stipend or salary.

**Health Insurance:** As a condition of enrollment as a postdoctoral scholar, UCLA requires that all scholars have evidence of adequate medical insurance coverage. If not enrolled in a plan as an eligible UC-employee or the UC Postdoctoral Scholar Benefits Plan, the scholar is required to provide proof of existing outside coverage.

**Privileges and Courtesies:** Upon approval of the postdoctoral appointment, the scholar is sent a letter of invitation from the Dean of the Graduate Division, which is used to obtain an identification card (known as the BruinCard). Postdoctoral scholars are entitled to use all of the libraries on campus. The BruinCard functions as the library card. Postdoctoral scholars are not students; therefore, they do not pay fees, nor do they register with the Office of the Registrar. With the exception of summer school classes, postdoctoral scholars may audit courses and seminars with the consent of the instructor. No academic credit is given. If scholars wish to take regular University courses and receive credit, they are required to seek admission to the University and pay the normal student registration fees; status as a postdoctoral scholar is then terminated.

Within University policy, scholars may be granted use of laboratory and other University facilities at the discretion of the departments involved. In many departments, however, space is limited and offices cannot be provided.

The Graduate Division will provide lending agencies with a letter outlining the dates of appointment and the UC definition of a postdoctoral scholar for deferment of student loans. Because postdoctoral scholars are not considered the equivalent of full-time registered students, the Graduate Division cannot sign student loan deferral forms.

Upon written request from the scholar's faculty supervisor and the department chair, a Certificate of Postdoctoral Study will be issued to confirm completion of the program of research and training.

### **Instructions for Completing the Postdoctoral Scholar Personal Data Form**

Please complete form with as much detail as possible.

Mailing addresses: Include both local and permanent addresses and identify to which address correspondence should be mailed.

Residency Status: If Non-US citizen, please indicate visa type and country of citizenship and permanent residency (if different).

Required Attachments: Please submit this form, along with the required supporting documents to the sponsoring department, to complete the application.

- Curriculum Vitae: Include the most current copy of the curriculum vitae, detailing both academic and professional achievements.
- Statement of Objective: statement should describe in 250 words or less the research and training objectives of the postdoctoral scholar's proposed appointment.
- Evidence of Completion of the Doctoral Degree: attach copy of diploma or an official statement from the awarding institution certifying completion of all requirements for the Doctor of Philosophy (Ph.D.). Certification of all other doctoral degrees is not required.

Applicant's Certification: Please sign and date the document. As soon as it has been completed, please return with all required attachments to the sponsoring department to complete submission of the appointment request with the Graduate Division

## Recommendation for Issuance of Certificate of Postdoctoral Study

**From:** \_\_\_\_\_  
*Department or Academic Unit*

**To:** Office of Postdoctoral & Visiting Scholar Services  
UCLA Graduate Division, 1228 Murphy Hall, MC 144401  
T: (310) 825-0636; F: (310) 825-0017

\_\_\_\_\_ recommends the issuance of the Certificate of Postdoctoral Studies for:  
*Faculty Sponsor*

Name of Postdoctoral Scholar: \_\_\_\_\_

Studies in: \_\_\_\_\_  
*(limit 50 characters)*

Appointment Period            from: \_\_\_\_\_            to: \_\_\_\_\_

**Mail completed certificates to:**

Department Contact: \_\_\_\_\_            Phone: \_\_\_\_\_

Campus Address: \_\_\_\_\_            Mailcode: \_\_\_\_\_

Recommendation by Faculty Sponsor	
_____	_____
<i>Signature</i>	<i>Date</i>
_____	
<i>Name (as it should appear on certificate)</i>	

Recommendation by Department Chair or Unit Head	
_____	_____
<i>Signature</i>	<i>Date</i>
_____	
<i>Name (as it should appear on certificate)</i>	

(for Graduate Division use)	
Request Approved: _____	Date: _____

Please allow at least two weeks for preparation of certificate.

This form is available on the Graduate Division web site: [www.gdnet.ucla.edu](http://www.gdnet.ucla.edu).





**UCLA** GRADUATE DIVISION

[www.gdnet.ucla.edu](http://www.gdnet.ucla.edu)